

For Reference

NOT TO BE TAKEN FROM THIS ROOM

Ex libris
UNIVERSITATIS
ALBERTAENSIS



THE UNIVERSITY OF ALBERTA
A COMPARATIVE ANALYSIS OF APPROACHES TO PLANNING
DEVELOPMENT IN POST-SECONDARY EDUCATION

by

G. R. MADDOCKS



A THESIS
SUBMITTED TO THE FACULTY OF GRADUATE STUDIES AND RESEARCH
IN PARTIAL FULFILMENT OF THE REQUIREMENTS FOR THE DEGREE
OF DOCTOR OF PHILOSOPHY

DEPARTMENT OF EDUCATIONAL ADMINISTRATION

EDMONTON, ALBERTA

FALL, 1972

ABSTRACT

This study was an investigation of the ways in which the task of planning and coordination was undertaken in four post-secondary systems of education. Attention was focussed upon the development and the work of coordinating structures which had been established in each of the systems by provincial governments. The systems chosen for analysis were the Ontario and Alberta university and college systems. The coordinating structures were the Ontario Committee on University Affairs, the Ontario Council of Regents for Colleges of Applied Arts and Technology, the Alberta Universities Commission and the Alberta Colleges Commission. Some attention was also given to the voluntary association of universities in Ontario, the Council of Ontario Universities.

The study was designed as a descriptive-comparative analysis, with the principal purposes of providing clarification of existing approaches to planning and coordination, of identifying similarities and differences among the various approaches, of arriving at generalizations relative to the four systems and propositions to guide further research in other jurisdictions, and of considering alternative structures for planning and coordination in post-secondary systems of education.

Data were collected primarily by interview with persons associated with the work of the four coordinating agencies and related bodies, and augmented by the use of questionnaires. The data were organized and analyzed by reference to a conceptual framework developed from the literature on planning and coordination.

Of the four coordinating agencies studied, two were designed

for the main purpose of advising provincial government on matters affecting their systems, and two were established as intermediary structures between the provincial government and the institutions of their respective systems. The advisory structures were found to be influential in government decision-making relative to the development of their systems, and to be given a high degree of independence in operating over a wide scope of activity. The intermediary structures were found to be less influential with government and constrained by their terms of reference to operating within clearly defined areas. All agencies appeared to have achieved a large measure of success in devising methods for the distribution of government grants for operating support and capital development, but in the matter of program development their success was less marked. In no agency had plans for the rationalization of program development been produced, although work in all agencies was proceeding towards that objective. Of particular interest was the attempt of the voluntary association, the Council of Ontario Universities, to develop plans and procedures for graduate program rationalization in Ontario.

Propositions to guide future research were made, with particular reference to the effects of formula financing, to program development, and to alternative structures. The possibility of alternative structures to the coordinating board--whether advisory or intermediary--was examined in relation to the structures recommended by the Ontario Commission on Post-Secondary Education and the Alberta Commission on Educational Planning.

Digitized by the Internet Archive
in 2023 with funding from
University of Alberta Library

ACKNOWLEDGEMENTS

The writer wishes to acknowledge his indebtedness to the members of his committee, especially to his advisor, Dr. Erwin Miklos.

To the many people who so generously gave of their time for interview, the writer expresses his grateful thanks.

The financial support of the Alberta Colleges Commission is acknowledged with gratitude.

To Joan, Hilary, Richard and Elspeth must be attributed a large part of whatever success has been achieved in the writing of this thesis.

TABLE OF CONTENTS

	Page
LIST OF TABLES	xi
LIST OF FIGURES	xii
Chapter	
1. INTRODUCTION	1
PURPOSES OF THE STUDY	2
DEFINITION OF TERMS	4
SIGNIFICANCE OF THE STUDY	5
DELIMITATIONS	6
LIMITATIONS	6
ORGANIZATION OF THE CHAPTERS	7
2. CONCEPTUAL FRAMEWORK	9
COORDINATION	9
COORDINATION IN HIGHER EDUCATION	10
Problems of Membership	11
Problems of Staffing	12
Problems of Powers	13
Problems of Changing Purposes	14
Problems in Program Development	14
Problems in Institutional Autonomy	15
Problems in the Distribution of Government Grants	15
VOLUNTARY ASSOCIATIONS	16
PLANNING AND COORDINATION	17
A CONCEPTUAL FRAMEWORK FOR PLANNING ANALYSIS	18
Theories of Planning	19

Chapter	Page
ELABORATION OF THE PROBLEM	29
3. DESCRIPTION OF COORDINATING AGENCIES AND RESEARCH PROCEDURES	33
COORDINATION OF THE UNIVERSITY SYSTEM IN ONTARIO	33
COORDINATION OF THE UNIVERSITY SYSTEM IN ALBERTA	37
COORDINATION OF THE ONTARIO COLLEGE SYSTEM	40
COORDINATION OF THE ALBERTA COLLEGE SYSTEM	42
RESEARCH PROCEDURES	48
Interviews	48
Questionnaires	49
Additional Data	49
Nature of Information Sought	52
Data Analysis	53
4. THE ONTARIO UNIVERSITY SYSTEM	55
EARLY COORDINATION ARRANGEMENTS	56
VOLUNTARY COOPERATION	58
COMMITTEE ON UNIVERSITY AFFAIRS : STYLE OF OPERATION . .	61
Composition	61
Purposes	61
Relationships with Other Agencies	63
PRINCIPAL AREAS OF PLANNING AND COORDINATION	66
Operating Support for the University System	67
Capital Financing	71
Program Development	75
OUTCOMES OF PLANNING	82
SUMMARY AND ANALYSIS	83

Chapter	Page
5. THE ALBERTA UNIVERSITY SYSTEM	87
COORDINATION OF THE UNIVERSITY SYSTEM	89
THE ALBERTA UNIVERSITIES COMMISSION: STYLE OF OPERATION	90
Composition	91
Purposes	92
Relations with the Universities	94
Relations with Government	95
PRINCIPAL AREAS OF PLANNING AND COORDINATION	98
Operating Support	98
Capital Development	104
Program Development	114
OUTCOMES OF PLANNING	123
SUMMARY AND ANALYSIS	124
6. THE ONTARIO COLLEGE SYSTEM	126
HISTORY OF DEVELOPMENT	126
THE COUNCIL OF REGENTS: STYLE OF OPERATION	129
Composition	129
Purposes	130
Relationships with Other Agencies	131
PRINCIPAL AREAS OF PLANNING AND COORDINATION	134
Operating Support	136
Capital Support	136
Program Development	139
The Connect/Campus Project	143
OUTCOMES OF PLANNING	143
SUMMARY AND ANALYSIS	145

Chapter	Page
7. THE ALBERTA COLLEGE SYSTEM	148
HISTORY OF DEVELOPMENT	148
THE ALBERTA COLLEGES COMMISSION: STYLE OF OPERATION . . .	151
Composition	151
Purposes	153
Relationship Between Commission and the Colleges	154
Relationship Between Commission and Government	155
PRINCIPAL AREAS OF PLANNING AND COORDINATION	156
Operating Support for the College System	157
Capital Development in the College System	159
Program Development in the College System	162
Developing a Master Plan	167
OUTCOMES OF PLANNING	168
SUMMARY AND ANALYSIS	169
8. SUMMARY, CONCLUSIONS, AND IMPLICATIONS	175
SUMMARY	175
Purposes	175
Structures	177
Functions	178
Relations with Government and Institutions	182
CONCLUSIONS	184
IMPLICATIONS	187
Program Development	187
Formula Financing	191
Alternative Structures for Planning and Coordination . .	192
REFERENCES	196

Page

APPENDIX A	203
APPENDIX B	208

LIST OF TABLES

Table	Page
1. The Context of Educational Planning	20
2. The Provincially-Assisted Universities of Ontario	35
3. The Universities of Alberta	38
4. The Colleges of Ontario	43
5. The Colleges of Alberta	45
6. Summary of Structures and Functions of Coordinating Agencies	48
7. Positions held by Persons Interviewed	50
8. Positions of Persons Returning Questionnaires	51
9. Formula Weightings for Ontario Universities	69
10. Interim Capital Formula	74
11. Alberta Universities Operating Support Weightings	100
12. Formula Weightings for Ontario Colleges	137
13. Summary of Approaches to Planning and Coordination in Post-Secondary Systems	174

LIST OF FIGURES

Figure	Page
1. A Conceptual Framework for the Analysis of Planning Approaches in Coordinating Agencies	30
2. Structure of the Ontario University System	36
3. Structure of the Alberta University System	39
4. Structure of the Ontario College System	44
5. Structure of the Alberta College System	46

Chapter 1

INTRODUCTION

The greatly increased demand for post-secondary education throughout the western world over the past decade, coupled with the widespread belief in education as an instrument for national social and economic advancement, has resulted in the establishment of a variety of institutions and programs. In North America, the rapid development of community colleges and institutes of technology reflects government concern for expanding the post-secondary non-university sector. At the same time, however, there has been an equally strong demand for university education, which has resulted in the creation of new universities and campuses in all parts of the North American continent.

Concomitant with government eagerness to provide post-secondary educational opportunities for all qualified young people who sought it, there was a need for extensive government financial support to meet the greatly increased capital and operating costs of the expanding systems. That this support has been forthcoming from both federal and provincial sources in Canada--of late almost entirely from the latter--is an indication of government acquiescence to the view that money spent on post-secondary education would in some significant way ensure a better future for all.

During the course of all this development, it was probably inevitable that demands would be heard for the creation of a mechanism

to coordinate the activities of these institutions, old and new, to ensure that their development would be orderly, that public money spent on them would be used wisely and economically, and that they would continue to serve the public purposes for which they had been established. In many cases, governments handled coordination through their own departments; in others, and especially with the increasing complexity and size of post-secondary systems, governments have tended to place responsibility for coordination in the hands of special agencies. In Canada, every province has some form of politically-named coordinating agency for its university system (Smith,1970), and where college systems exist, similar coordinating agencies are also found. In the United States, every state by 1969 had some form of coordinating agency for higher education. Of these, only two had not been created by Act of Legislature (Berdahl,1971:xi).

Agencies created for the purposes of coordinating post-secondary education are also presumed to have responsibilities for planning. However, the distinction between coordination and planning is seldom made clear; the terms are often used together as if to imply that coordination and planning are complementary activities, that one could not occur without the other. While for the purposes of this study a distinction between coordination and planning is made, it should be regarded as being applicable only in the context of the discussion which follows.

PURPOSES OF THE STUDY

This study was designed for the purpose of describing the development and operation of four post-secondary coordinating agencies

in such a way that comparisons could be made among them, and from which generalizations about coordination and planning in post-secondary education could be derived.

The four coordinating agencies selected for analysis were:

1. The Ontario Committee on University Affairs
2. The Alberta Universities Commission
3. The Ontario Council of Regents for Colleges of Applied

Art and Technology

4. The Alberta Colleges Commission.

The purposes of the study may be expressed more specifically in terms of the following questions:

1. What were the circumstances which led to the creation of each coordinating agency?

2. How were these circumstances related to the purposes held for the agencies, to their structure, and their principal terms of reference?

3. In what areas of activity were the coordinating agencies chiefly involved?

4. How did the agencies go about their tasks? How did they discharge their responsibilities to government, to the public, and to the institutions under their jurisdiction?

5. What factors tended to facilitate, or to place constraints upon, the operation of the agencies?

6. What similarities and differences could be detected among the approaches used by each of the four agencies?

7. What generalizations about coordination and planning emerged from the analysis? What alternative approaches were suggested by the analysis?

Definition of Terms

No new terms have been created for this study, but as some have been given special connotations they are defined hereunder.

The term "coordinating agency" is applied to structures which have been created by statute for purposes associated with the development and operation of post-secondary systems of education. These agencies are known variously as Committees, Councils or Commissions, and generally consist of appointed boards of voluntary members together with permanent staffs.

Coordinating agencies perform various "functions" and are given various "powers." Functions are either "advisory" or "regulatory." An advisory function implies that the agency has no statutory power but exists to make suggestions and recommendations to system decision-makers. Regulatory functions are those for which the agency has been granted statutory powers of decision-making. Coordinating agencies for example are often expected to advise governments on appropriate levels of financial support for their systems, but generally have power to regulate the distribution of government grants among institutions.

The term "post-secondary education" refers in this study to all tertiary level education, including university, college and technical institute education.

A "post-secondary system of education" refers to that section of post-secondary education over which a particular coordinating agency has jurisdiction. Post-secondary systems are occasionally referred to as "university systems" or "college systems."

Coordinating agencies are described in terms of their "approaches" to planning and coordination, and in terms of their "style of operation."

An "approach" to planning and coordination is intended to encompass all aspects of an agency's operation--its purposes, structure, activities, processes and outcomes. An agency's "style of operation" refers to the manner in which the agency undertakes its particular tasks, and is described in terms of the principal factors of which the "style" is constituted--the agency's purposes, composition, and the nature of its relationship with associated agencies and other organizations in the system.

The terms "coordination" and "planning" are discussed in greater detail in the following chapter. "Coordination" refers to the distribution of financial resources and program responsibilities among institutions of the system according to some rationale or scheme for system development, and "planning" refers to the process by which that rationale or scheme was developed. In practice, coordination does not occur without planning, as in the absence of a rationale for distribution, resources would most likely be directed to those areas which exert the greatest pressure or present the most plausible arguments. Where the expression "planning and coordination" is used, it is meant to refer to both parts of the process of distribution.

Significance of the Study

As coordinating agencies are charged with a large part of the responsibility for planning and promoting the development of post-secondary systems of education in Canada and elsewhere, the manner of their operation should be clearly understood. The focus of this study was thus upon the operation of four coordinating agencies, with particular reference to their approaches to planning for system development.

If existing coordinating agencies are studied, and their structures and processes clearly described, only then will it be possible to derive generalizations about coordination in post-secondary education, and to generate statements about alternative coordinating structures in particular educational jurisdictions.

Delimitations

The study was delimited to an investigation of the planning approaches developed and used by post-secondary systems in the Provinces of Ontario and Alberta as of September, 1971. These two provinces were chosen for the following reasons:

1. Ontario and Alberta appeared to possess well-established coordinating agencies in both university and college sectors.
2. The structure of post-secondary education in each province was at that time under investigation by Commissions--The Commission on Post-Secondary Education in Ontario, and the Commission on Educational Planning in Alberta. It was thought that this study might be a modest contribution to the discussion that would take place subsequent to the release of the Commissions' reports. The Draft Report of the Commission on Post-Secondary Education appeared in March, 1972, and the report of Alberta's Commission on Educational Planning, A Choice of Futures, appeared in June, 1972.

Limitations

1. The study was limited by certain events which were taking place in each province at the time of the investigation. In Ontario, the Department of University Affairs had been enlarged to absorb responsibility for the college system, and its name had been changed

to the Department of Colleges and Universities. Data collected in Ontario applied only to events up to September, 1971, when this structural change took effect.

In Alberta, subsequent to a change of government in September, 1971, a Department of Advanced Education was formed, with responsibility for all sectors of post-secondary education in the province. Data collected in Alberta do not take this change into consideration, and apply only to the operation of the Alberta Universities Commission and the Alberta Colleges Commission under conditions that existed prior to September, 1971.

2. Data for the study were gathered principally by interview with personnel attached to the agencies or associated in some way with the development or operation of the agencies. Interviewees were asked to recount events of the past, and were permitted to a large extent to dictate the course of the interviews. The possibility that personal bias might have colored descriptions of past events should be regarded as a limitation.

3. All interviews were tape-recorded. Although the researcher was unaware of any inhibiting effect, a possible limiting factor might have been interviewees' reluctance to express certain opinions or to reveal certain events in the knowledge that they were being recorded.

Organization of the Chapters

Chapter 2 describes the development of a conceptual framework by means of which the data were compared and analyzed.

In chapter 3 the structures of the four coordinating agencies are described, and the methodology of data collection and analysis is discussed.

The approaches to planning and coordination as used in each of the four coordinating agencies are described in some detail in chapters 4 to 7.

Chapter 8 contains a summary of the four descriptive chapters, generalizations which emerge from the analysis, and implications for both coordination in post-secondary education and for future research into the planning activities of coordinating structures.

Chapter 2

CONCEPTUAL FRAMEWORK

This chapter discusses the place of coordination and planning in post-secondary education, examines the problems associated with the work of coordinating agencies, and from the literature on coordination and planning develops a conceptual framework for the description and analysis of approaches to planning and coordination in post-secondary systems of education.

COORDINATION

"Coordination" may be defined as the distribution of resources and responsibilities among institutions which depend to some extent upon a central agency for their support. This is seen as the major task of post-secondary coordinating agencies, all of which to some degree must be concerned with the allocation of government moneys among institutions under their jurisdiction, and with decisions about the distribution of program responsibilities among those institutions. This restricted view of coordination does not describe all of an agency's functions, but it does represent a base of activity which is common to all agencies and which might therefore be used as a point of departure for the development of a framework for comparative analysis.

Coordination is distinguished from cooperation, which might be described as working together towards a single objective. In post-secondary education, cooperation might take the form of voluntary associations of institutions through which all members stand to benefit

from the act of cooperation. Universities, for example, might cooperate to develop a computer network to serve all institutions in a provincial system. Cooperation might also be generated by the actions of some external authority which is perceived as threatening to all members of the system. Universities, for example, might cooperate to form a united opposition to the threat of government encroachment upon their autonomy. In coordination there need not be a cooperative element. Ideally, institutions might cooperate to coordinate, in which case a voluntary association of institutions would make decisions about the distribution of financial resources and program responsibilities among themselves. Coordination, however, is more likely to be undertaken by an agency external to the institutions, and with the force of statutory authority to implement its decisions residing either within the agency itself or within a department of government to which the agency is advisory.

COORDINATION IN HIGHER EDUCATION

Various forms of coordinating structure have evolved in post-secondary education. Berdahl (1971) classified state systems of higher education in the United States according to the following arrangements for coordination:

1. States which have neither a single coordinating agency created by statute nor a voluntary association performing a significant statewide coordinating function.
2. States in which voluntary statewide coordination is performed by the institutions themselves operating with some degree of formality.
3. States which have a statewide coordinating board created by statute but not superseding governing boards. These boards may be

composed of a majority of either institutional or public members, and may have either advisory or regulatory powers, or both.

4. States which have a single governing board, with no local or governing bodies (Berdahl,1971:19).

In the United States, the trend in recent years has been towards the coordinating board (Glenny,1965:101), and within the category of coordinating board there is a trend towards public rather than institutional majorities, and a trend towards more regulatory as opposed to advisory powers (Berdahl,1971:33).

Where coordinating boards exist, in twenty-seven states of the United States, their functions extend over a wide range of possible activities, including planning, budget review, program approval, capital outlay review, and the administration of federal programs; their powers may be advisory in some areas and regulatory in others (Berdahl,1971:24). Some of the problems associated with coordinating board structure and operation have been identified by various writers, and are listed below.

Problems of Membership

These problems include questions of size and composition. Hurtubise and Rowat (1970:119) recommended an upper limit of fifteen members. Browne (1965) observed that boards consisting of more than fifteen members tended to be less effective, that meetings were difficult, subcommittees had to be formed, administrative and detailed problems tended to dominate discussions, pressure for institutional representation increased, and eventually the board tended to be dominated by the chairman or the executive secretary.

Most writers appear to agree that the board should be composed in the majority of public members, with institutional members

constituting the minority. Among the public members it has been suggested that the appointment of one or two senior civil servants (Hurtubise and Rowat,1970:121) or public officials (Berdahl,1971:57) would serve as a bridge between the agency and the provincial or state government. Other public members should include representatives of organizations in the fields of business, labor, culture and the professions to ensure a wide public participation and to give assurance that appointments will not be politically partisan (Hurtubise and Rowat, 1970:119). Of the institutional membership, incumbent university presidents should not be included, as they would tend to find it difficult to think in province- or state-wide terms (Hurtubise and Rowat, 1970:120; Berdahl,1971:62).

Hurtubise and Rowat (1970:121) recommended that the chairman should be a full-time appointment, and that he should be appointed not by the government but by the coordinating board itself. Where the chairman is appointed by government, this could mean suspicion of domination by government. If he is the only full-time member of the board, leadership and power may tend to be concentrated in his hands, and too much would depend upon his competence and personality. The whole system of higher education might come to be shaped by the ideas of one man.

Problems of Staffing

The need for a strong professional staff has been noted by various writers (Berdahl,1971:87). As the permanent staff has major responsibility for presenting policy matters to the agency for action (Glenny,1959:87), it should include a capacity for sophisticated

research and analysis. Where agencies rely upon the secretarial services of government departments of higher education, as in Ontario and Quebec, there is danger that they may become too dependent upon departmental staff and thus be dominated by government.

Problems of Powers

Hurtubise and Rowat (1970:113) believe that bodies responsible for the coordination and planning of higher education ought to be anchored in law for two reasons. In the first place, both advisory and executive functions should be spelled out by statute for greater certainty and the better protection of both the university or college community and the agencies themselves. Writing specifically of university coordinating agencies, Hurtubise and Rowat (1970:113) stated:

The university community would thus be assured of the limits of the commission's [the coordinating agency's] powers, and the commission, by having statutory independence, would be less liable to charges of "being in the government's pocket."

Secondly, under circumstances such as these the universities would be more willing to give up some of their previous claims of jurisdiction, and the government, apart from seeking the advice of the commission (the coordinating agency) could legitimately delegate to it some executive power.

Where powers are advisory only, there are dangers that government might either hide behind its coordinating agency while actually dominating it (Hurtubise and Rowat, 1970:25) or that it might allow the agency a wide de facto discretion in the matter of the exercise of power. Berdahl (1971:25) gave the example of the Illinois Coordinating Board which was granted the power to make only budget recommendations, but since its recommendations were always accepted intact by the state government, it

was soon recognized as possessing considerable power.

Problems of Changing Purposes

Glenny (1959:61) observed that

. . . coordination may mean one thing when the agency first attempts to bring order among the state institutions, and a different thing when a system has been established, cooperative attitudes developed, and certain procedures routinized.

Whereas agencies were first established for the principal purpose of advising government on the levels of support for higher education, and in some cases also on the allocation of government grants among the institutions, the evolution of higher education has forced them into functions for which they were not designed. Most notable of these new functions is the necessity for establishing and exercising some form of control over the planned expenditures of institutions, which implies a control over program development as well as over the distribution of operating and capital grants.

Problems in Program Development

Hurtubise and Rowat (1970:114) believed that the chief purpose of an agency designed to cope with the emerging problems of higher education is the construction of a Master Plan, by means of which decisions about the establishment of new institutions and the creation of new faculties and schools might be facilitated. Program approval at the level of departments, faculties and schools has been a traditional function of university coordinating agencies, which in general have not possessed or exercised a power of approval over individual courses or course content (Berdahl, 1971:168). There is a growing realization, however, that rational program development on a province- or state-wide perspective could imply not only the approval of new programs, but also

the termination and the reallocation of programs. This is a problem for coordinating agencies which may assume a position of increasing importance.

Berdahl (1971:170) wrote:

The power to reallocate and eliminate programs is seldom exercised because past experience has shown that such moves have unfortunate political repercussions, stirring up controversy and even leading to the agency's decision being overturned Powers to reallocate programs are little used during periods of rapid expansion, but should a severe recession or depression occur, this function of coordination might well become central.

Problems of Institutional Autonomy

Universities have traditionally resisted any real or perceived invasion of their autonomy. Today however, it is generally recognized that the legitimate interests of the province or state can and should extend to controls over certain aspects of the operation of institutions of higher education. Berdahl (1971) distinguished between academic freedom which should be firmly defended, and institutional autonomy which has legitimately been reduced by state interest in the use of public funds. Among colleges, autonomy appears not to have reached the stage where it could be considered an important issue, although Medsker (1965) noted that college systems appear to have come of age and severed their connections with the public schools. Autonomy is mentioned as a possible problem because of its implications for coordination. Are the problems for coordination any different in a system of public junior or community colleges than in a university system?

Problems in the Distribution of Government Grants

Berdahl (1971:110) pointed out that institutions are generally critical of coordinating agencies' failure to make more vigorous approaches to government for a greater share of the state budget to be

allocated to higher education. But the legislators who established these coordinating agencies did so more often than not with the intention of achieving fiscal economies and of preventing program duplication. Given these somewhat conflicting expectations, it was inevitable that the early role of the agencies would be controversial.

With respect to the distribution of government grants, formula financing appears to have been accepted in Canada and the United States as the most reasonable procedure. But formula financing is not without its limitations. Any financial formula must contain two elements: it must reflect some relation to cost, and it necessarily contains an element of value judgement about this cost. Hurtubise and Rowat (1970:97) asserted that formula financing actually contains and implements government policies. For example, where a formula is based on actual costs, government policy implicitly is to safeguard the status quo. What Hurtubise and Rowat would have the agencies do, is to manipulate the weightings upon which formulae are based in order to introduce changes in the systems. However, as presently constituted, coordinating agencies are ill-equipped to perform this function.

VOLUNTARY ASSOCIATIONS

Glenny (1965:88) observed that without exception voluntary structures have arisen only after the state legislature ordered them or threatened to establish a single governing board or a coordinating agency with legal power. Hurtubise and Rowat (1970:88) believed that the failure of voluntary associations to perform a successful coordinating function could be attributed mainly to their inability to apply sanctions to members who did not subscribe to association views

and obey association directives. However, institutional cooperation can make a very valuable contribution to system development when cooperative arrangements which are agreed upon are enforced by government.

PLANNING AND COORDINATION

Berdahl (1971:74) equated planning with making a master plan, although his definition of master planning was careful to avoid any connotation of rigidity:

Master planning ideally involves the identification of key problems, the accumulation of accurate data about these problems, the analysis of their relationships, the extrapolation of future alternatives which might emerge out of present conditions, the assessment of probable consequences of introducing new variables, the choice of the most desirable (or the least undesirable) modified alternatives as the basic goals, a sequential plan for implementing the desired goals, and a built-in feedback system for periodically re-evaluating both the goals selected and the means used to achieve them.

The making of a master plan, however one looks at it, is no guarantee that any parts of it will reach the stage of implementation. Glenny (1967:6) described the problems faced by a coordinating agency charged with the task of producing a master plan:

Is it better to limit the plan to a few essentials or cover the waterfront? What are the practicable limits of achievable change?

To what extent can a plan become a "package deal?" How do you prevent a sensitively balanced . . . plan from being dissected and mutilated in the political process of approval? Is it realistic to ask a legislature to accept all of a plan or none of it?

How much reality should be exposed in a plan? Should the bald financial facts . . . which may frighten the governor and the legislature be given or should they be minimized in order not to jeopardize the plan? How much honesty is required, even though self-defeating?

Hurtubise and Rowat (1970) refused to struggle with a definition of planning in higher education, observing that no consensus existed

over what the phrase "educational planning" really meant. These writers suggested that educational planning was "probably the best way to describe briefly and comprehensively the kind of activity that the government must undertake to fulfil its obligation to society in the realm of higher education (107)." As governments have attempted to fulfil their obligation to society through delegating to coordinating agencies various powers and responsibilities, it was in the areas represented by such powers and responsibilities that this study was concerned.

If planning in post-secondary education can be seen as an activity associated with and leading up to the making of decisions about system coordination--decisions about the amount of government grants to higher education, decisions about the allocation of those grants among institutions, and decisions about the distribution of program responsibilities among institutions--then it is a process subject to the effects of influences both from within the system and from sources external to the system.

To assist in the development of a conceptual framework by means of which the activities of coordinating agencies might be described in planning terms, a selection from the most recent literature is briefly reviewed.

A CONCEPTUAL FRAMEWORK FOR PLANNING ANALYSIS

If each post-secondary sector is viewed as a system consisting of a number of semi-autonomous institutions coordinated by a central agency, existing within and serving the purposes of society which supports it, then the whole can be seen as a structure performing certain functions within a context from which it derives its inputs, and to which its

outputs are finally delivered. This systems view of the planning process was developed by Miklos (1971), whose summary of the context of educational planning is presented in Table 1 on the following page.

Miklos (1971) believed that the dominant characteristics of educational policy shaped the activities of planning, the focus of planning activities, the structures for planning, the outcomes of planning, and the difficulties encountered in attempting to plan.

Theories of Planning

Most of the literature on planning consists of various prescriptive theories about how the planning process ought to be organized and conducted. Two recent contributions of this kind are that by Ackoff (1970) and by the Organization for Economic Co-operation and Development (OECD) in a Basic Paper on Educational Planning, Policy and Administration (1970). Included in the prescriptive category are the many writings which focus upon a particular approach to planning, such as the "social demand" approach, the "manpower" approach or the "rate of return" approach.

A second category consists of the analytical theories, which attempt to impose a kind of conceptual order on descriptions of planning behavior by the use of metaphorical terms, or terms which are understood and accepted in other disciplines. Dror (1963) and Friedmann (1968) are theorists whose work falls into this category.

A third category consists of empirical studies of planning in process. Very little work appears to have been done in this category, although the work of Lindblom (1959) and Eide (1970) probably belongs here, and also Kruckeberg's study of planning agencies in the United States, based on the model developed by Friedmann (1971).

Table 1

The Context of Educational Planning

Characteristic Features of Educational Policy	Situation	Objective of Planning	Focus of Planning Activities	Structures for Planning	Outcomes of Planning	Difficulties and Shortcomings
Expansion and Extension of Formal Schooling	Increased demand for education; pressure for upward and downward extension of schooling; increased need for financial, human, and material resources	Provide places for all who wish to enrol; manage and control orderly growth and development; forecast needs and devise means for meeting the needs	Demographic forecasts; identification of possible targets; monitor system through accounts, mapping; identify factors which influence demand	Specialized planning units associated with Ministry; commissions and advisory committees; limited planning at lower levels	An educational plan: predicted enrolments, needed facilities, costs; policy alternatives for meeting the demand	Technical problem of predicting demand; isolation of education planning from other planning; ignores problems of content & efficiency
Education as an Instrument of Economic Policy	Education considered to be important in stimulating economic growth; period of industrialization or occupational shifts; education viewed as an investment in human resources	Develop plan for educational expansion in terms of economic objectives; determine future manpower requirements and implications for training; determine optimal levels of investment in education	Project manpower requirements from growth targets; develop supply-demand models; cost/benefit analysis and rates of return studies	Interdisciplinary planning groups at upper decision levels; linked to other planning units perhaps; no provision for planning at lower levels	Long and short-term plans for economic targets and policy alternatives for achieving targets; manpower forecasts	Estimating future needs and occupational structure; gap between planning and policy decisions; estimating benefits of education; ignores quality of education and content of curriculum
Education as an Instrument of Social Policy	Continued disparities in spite of expansion; differential participation and success rates; equality or other norms applied to education; active social policy	Identify causes and sources of disparity; identify factors which inhibit achievement of goals; develop policy alternatives	Collect data on participation rates & other conditions; develop indexes of extent to which goals are achieved; set targets and devise policy implementation	Centralized units responsible for data collection and analysis; research; programs at operational levels; more dispersed planning	Information of the extent of disparities; policy and program alternatives for reducing disparities	Precise definition of social objectives; developing effective policy instruments; motivating individuals to take advantage of opportunities
Increased Efficiency at all Levels	Rising costs of education and increased competition from other social services pressure for demonstrating goal attainment; perceived lack of efficiency	Develop effective means for setting priorities and managing programs; increase system productivity	Goal-setting processes; indicators of performance; simulation systems analysis; cost-effectiveness studies; budgeting systems	Planning carried out at all administrative levels; national, regional and local; macro and micro planning; structures for coordinating educational services	Objectives or alternatives specified; preparation of strategic decisions; cost-effectiveness evaluation of programs	Defining objectives; developing procedures for setting priorities; assessing costs and benefits of alternatives combining coordination and flexibility
Qualitative Improvements in Education	Pressure to re-shape entire system; emphasis on adaptation and change; desire to make system more effective in terms of a broad range of goals	Inject qualitative concerns into quantitative planning; modify educational experiences; develop alternative futures and strategies for attaining them	Quantitative and qualitative forecasts; monitor present policies and practices; research and development; develop policy planning links and information systems	Planning function dispersed throughout the system; participative, decentralized structure; centralized information processing; specialized units for forecasting, research, etc.	Strategies for organizational improvement and goal attainment; discussion and debate of policy alternatives; a more innovative, adaptable system	Reconciling highly participative decision-making and efficiency; obtaining improvement; combining coordination with flexibility

For purposes of this study, prescriptive theories were of little use. Prescriptive theories of the logico-deductive type may have no relation to reality, and to investigate planning activity in terms of their concepts could be a fruitless endeavor. The analytical theories lack empirical support, and their value in ordering descriptive data is as yet undetermined. Nevertheless, two important contributions to analytical theory will be examined in some detail for their possible application to the analysis of planning in post-secondary coordinating agencies.

Facet design of the planning process. Both Dror (1963) and Friedmann (1968), like Miklos (1971), recognized the importance of contextual variables in shaping the processes of planning. Dror's facet design of the planning process is a detailed check-list of factors which should be considered in any investigation of planning, and in any attempt to improve the planning process.

Beginning with a concept of planning as

. . . the process of preparing a set of decisions for action in the future, directed at achieving goals by optimal means (50),

Dror identified four primary facets of planning, each containing secondary facets.

1. Primary Facet A. The general environment of the planning process, including

basic environmental factors which constitute the general background against which the planning process takes place;

resources in manpower, knowledge, capital;

various values, power-groups, ideologies, which limit alternatives to be considered in the planning process;

terms of reference, including goals set for the planning process

and contextual goals.

2. Primary Facet B. The subject matter of the planning process, including

the structural relation between the subject-matter and the planning unit;

the degree to which the subject matter is pre-determined or elastic;

the degree of penetration;

the significance;

the orientation of the subject matter towards the planning process;

the extent to which the subject matter has already been subjected to planning;

the scope of the activity subjected to planning;

the demographic-territorial area related with the subject matter of the planning process;

the time-span.

3. Primary Facet C. The planning unit, including

the basic nature of the planning unit, primary or delegated unit;

its status;

values, information and character of the planning unit;

resources and means;

work systems, procedures and methods;

organizational structure.

4. Primary Facet D. The form of the plan to be arrived at, including

the realism of the plan;

the form of the plan;

degree of details.

Primarily, Dror saw the planning process as the preparing of a

set of decisions (that is, a plan) which, although an activity directed towards action, is nevertheless separate and distinct from the process involved in their implementation. While this conceptualization of planning may be consistent with reality in certain actual planning operations, it is not sufficient; later conceptualizations such as Friedmann's enlarge the perspective to include planning as a process intimately interrelated with other system operations such as policy-formulation and implementation.

Friedmann's model of planning for change. Friedmann (1968) saw planning as the guidance of change within a social system, a concept based on the notion of planning as intervention through intellectual effort, or thought. His model conceived of planning decisions being made along a continuum between complete autonomy and complete dependency, the polar positions characterized by the terms developmental and adaptive respectively.

Under developmental planning there is a high degree of autonomy with respect to setting ends and choice of means, and of modifying either during the planning process. Here policy is made and basic policy issues are decided, and the decision process involves both technical experts and politicians to the extent that it is difficult to separate the contributions of each. The relative importance of a technical planning function, as opposed to a purely political one, depends upon five variables: (1) the clarity of system objectives, (2) the extent of consensus about them, (3) the relative importance that politicians attach to them, (4) the degree of variance relative to objectives expected in the performance of the system, and (5) the extent to which a technical as contrasted with a political approach is believed to be

capable of making system performance conform to these objectives. Where goals are widely held, clear, and deemed to be important, technical planning is paramount. Where these conditions do not occur, planning tends to be reduced to a vestigial function (234).

In adaptive planning, all decisions are contingent upon the actions of others external to the planning system; ends are assumed and only in choice of means is latitude given. Planning is basically a technical function and is involved primarily with programming. Adaptive planning tends to be characteristic of lower hierarchical levels of decision-making, and developmental planning tends to occur at higher levels, where there exists a capability for changing some of the relevant conditions for decisions at lower levels. Adaptive planning tends to be opportunistic, employing counter-planning to win advantages by putting up plausible arguments.

Change is wrought by allocative or innovative planning behavior, which may be performed by either adaptive or developmental planners. Allocative planning is the assigning of resource increments among competing uses for the purposes of guiding the system towards optimal development (Friedmann, 1968:238). When allocative planning is adaptive,

planners will be chiefly concerned with predicting the behavior of external variables and with adjusting the available policy systems in order to maintain the system in some sort of equilibrium under the impact of changes which may impinge upon the system . . . (233).

When allocative planning is developmental,

. . . the role of allocative planners is to develop new kinds of leadership, to channel resources to priorities or points of change to facilitate communication among the highly competitive organizations and to search for areas of agreement, to help resolve interinstitutional conflicts especially with regard to the use of

limited resources, and to encourage organizational links among the many "islands of development (249)."

Allocative planning must be based on such a comprehensive knowledge of the system, and of the variables which impinge upon it from outside, that the distribution of resource increments is managed in a way which promotes optimal development of the system. What is optimal, is decided by the use of a synthetic model which allows examination of the system under quasi-experimental conditions, as different conditions are considered and the implications observed.

Innovative planning is intended to produce major changes in a social system. It differs from allocative planning in that innovative planners are more interested in redirecting financial and human resources to those areas which promise to lead to significant changes, rather than in their optimal allocation among competing uses. Innovative planners propose to guide the system through the feedback of information regarding the actual consequences of innovation, in contrast to allocative planners whose main endeavor is to predict accurately the chain of consequences resulting from incremental policies and then to adapt these policies to the prospective changes (Friedmann, 1968:246).

The importance of contextual variables is recognized in Friedmann's model through reference to forms of thought which impinge upon the planning process. Rationality is "bounded" by numerous factors: (1) the number of organized interest groups and their power to influence decisions, (2) the degree to which political opposition is tolerated or accepted, (3) the dependence of the economic system upon private enterprise and the characteristics of that enterprise, (4) the efficiency of the relevant information systems; their capacity, load, reliability, promptness, secrecy, (5) the structure of bureaucratic

institutions and their performance, (6) the educational level of the population and the size of the university-educated elite, (7) the availability of relevant information and its reliability, and (8) the predictability of change within the system and of external changes that will affect its performance (235). Functionally rational thought--rational with respect to means only--is possible under conditions of general, stable objectives, and where ends are assumed to be given. For example, the ends of post-secondary education have been assumed to include such broad concepts as national social and economic advancement, and are translated into statements of policy which represent means to their achievement. The similarity between this concept and Miklos' will be apparent. Substantially rational thought implies the possibility that ends as well as means might be altered, and is characteristic more of specific subsystem ends than of the more general system ends. Other forms of thought input into the planning process are described as non-bounded rationality (utopian and ideological thought) and extra-rational thought (as contained in tradition, intuition, or wisdom).

Friedmann's model is complex, and since it is intended for the analysis of national economic planning rather than for the more restricted analysis of educational planning, it may not be entirely appropriate to the purposes of this study. However, its basic concepts seem applicable to any planning operation, and will be incorporated in the conceptual scheme which follows.

Second generation planning. Developmental planning as described by Friedmann seems closely similar to the kind of planning which the OECD Basic Paper (1970) called Second Generation Planning. This paper describes the various stages through which theoretical considerations on

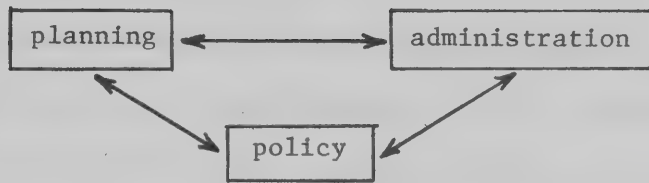
educational planning have passed. At the first stage, planning was treated as identical with programming, which meant that its function was to quantify some specific socio-economic indicators and the inter-relationships among them. Planning was a matter of forecasting one or a few easily quantifiable "goal" variables such as the demand of students for education or the need of manpower by the economy.

At the second stage, planning became a matter of programming and implementing, in which the programming had to take into account problems of implementation to overcome internal constraints to ensure feasibility of the planning. There was, however, no suggestion that this approach should lead to a change of the system or to any parts of it. Planning within the context of programming and implementation referred only to the manipulation of flows within the educational system.

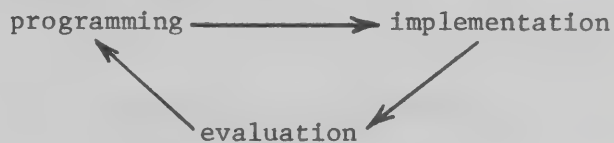
The third stage was a multi-phase process consisting of information, programming, implementation and evaluation, in a time sequence. Evaluation meant the ex post comparison of the results of the process and the targets being fixed ex ante. Educational planning was a wait-and-see activity (5).

Succeeding stages have been described as Second Generation Educational Planning. Under the influence of systems theory, and with the realization that educational planning was too often ignored by the decision-makers, theorists tended to develop prescriptive models to show how planning could be, and should be, a component of the decision-making process, and not a separate function as assumed in the first three stages which constituted First Generation Educational Planning. Planning, policy-making and administration were seen as dimensions of the decision-making process, and planning as a separate activity was

presumed not to exist.



The planning process itself was represented as a feedback model of iterative, or rolling, planning.



In this representation of the planning process, programming referred to the establishment of certain goal parameters and of the means by which they were to be achieved. Implementation meant that these goal structures were transformed into action outputs leading to certain effects upon the state of the system. Evaluation meant that these effects were measured and compared with the desired goal parameters.

From the foregoing discussion several ideas emerge which might with value be incorporated in a framework for the analysis of planning activities in coordinating agencies. In the first place, the influence of environmental forces and circumstances was seen by most theorists as constituting an important input into the planning process, and in large measure determining planning structures, purposes, functions, processes and outcomes. Environmental factors were also seen to impose constraints

upon the planning operation. Secondly, within the planning system, structures and processes were seen to be related, with the type of planning behavior varying according to the autonomy of the planning unit. Structures and processes were also seen to contain factors which could place constraints upon planning. Third, the inter-relatedness of all variables in the planning process, including planning outcomes, was suggested. Figure 1 on the following page contains the conceptual framework which was built from concepts derived from the foregoing discussion on coordination and planning, and by means of which descriptive data on the activities of coordinating agencies were organized for analysis and comparison.

ELABORATION OF THE PROBLEM

In light of the theoretical discussion, and with consideration for characteristics of coordinating agencies described earlier in the study, the problem may be given further elaboration.

Four coordinating agencies were visited, and their operations analyzed in terms of the conceptual framework. On the assumption that contextual factors might have played an important part in determining the agencies' structures and processes, the historical development of each was reviewed, with reference to the various forces which resulted in its creation and which prescribed its original purposes.

Structures were examined by reference to agency membership, composition of staffs, and relationship of the agency to other system units, with particular regard for agency participation in system policy-making.

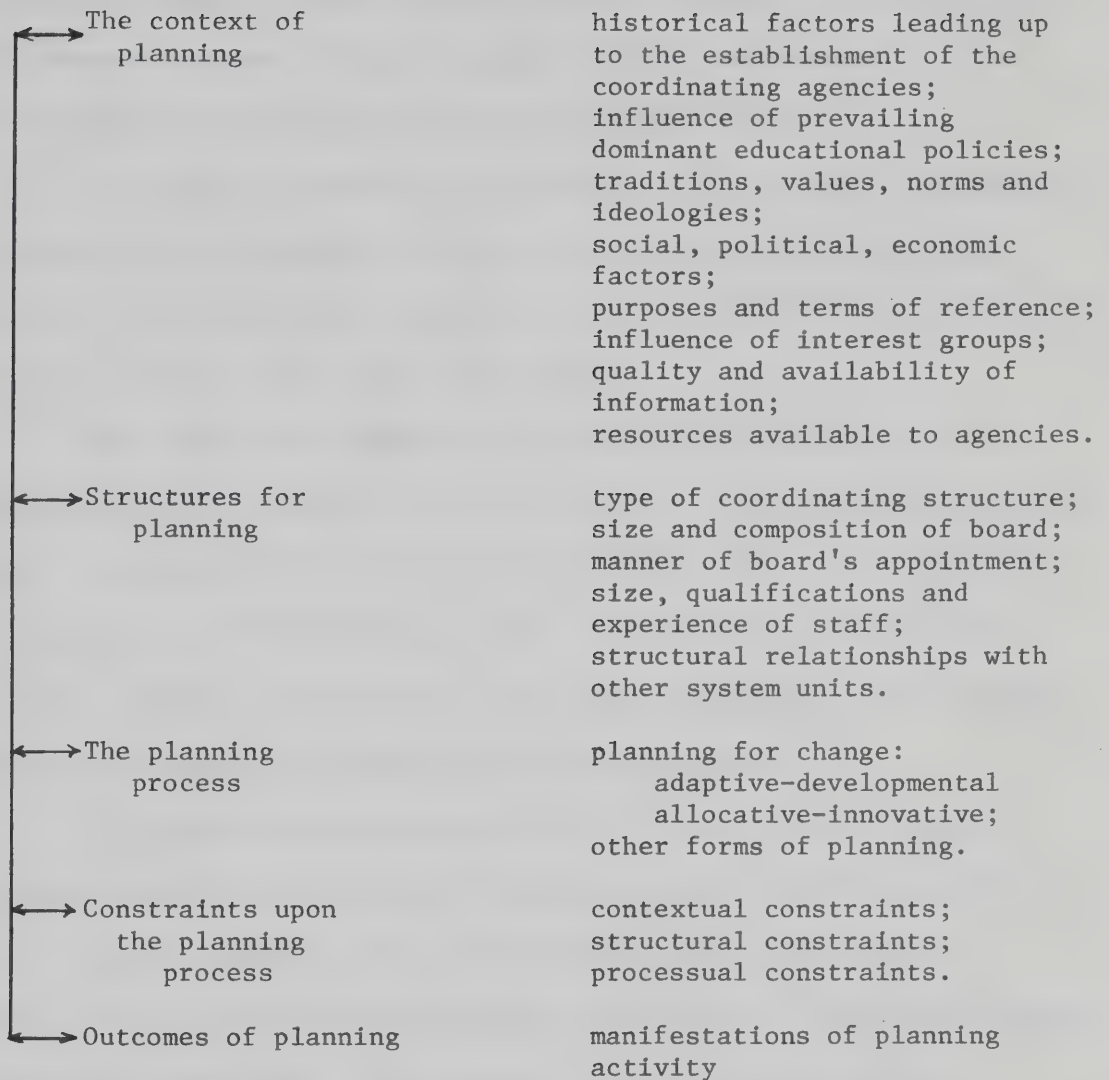


Figure 1

Conceptual Framework for the Analysis of Planning
Approaches in Coordinating Agencies

Processes of planning were studied in terms of the main substantive areas in which the agencies were engaged: the distribution of government grants for operating and capital development, and the distribution of responsibility for educational programs.

Constraints imposed by circumstances of historical development, or present in circumstances of structure or process were identified. Outcomes of planning were reported in terms of interviewees' perceptions of agency effects upon system development.

The comparative emphasis of the study was brought out in the identification of similarities and differences among the four agencies, and in questions relative to the factors which might have caused these similarities and differences to occur. One of the most interesting of these questions concerned the differences and similarities between approaches adopted by university and college systems.

To restate the problem succinctly, it was intended that the planning approaches of four coordinating agencies would be described in such a way that similarities and differences among them might be identified in terms of their historical development, structure, process, functions, constraints, and outcomes. Alternative approaches to planning and coordination, if suggested by the analysis, were to be stated. The practical purpose of the study was to arrive at generalizations about approaches to planning and coordination which might be of interest and use to persons concerned with the work of coordinating agencies or with the development of alternative approaches to planning and coordination in post-secondary education. Theoretically, the study was intended to add to the body of knowledge on processes of

planning and coordination, and thus to make its contribution to the development of prescriptive and analytical theories based on empirical research.

Chapter 3

DESCRIPTION OF COORDINATING AGENCIES AND RESEARCH PROCEDURES

This chapter presents descriptions of the coordinating structures in each of four post-secondary systems of education: the university and college systems of the provinces of Ontario and Alberta. Particular attention will be paid to the four coordinating agencies established by statute: the Ontario Committee on University Affairs, the Alberta Universities Commission, the Ontario Council of Regents for Colleges of Applied Arts and Technology, and the Alberta Colleges Commission. The voluntary association of universities in Ontario, the Council of Ontario Universities, is also examined. The chapter concludes with a discussion of the research procedures used in collecting and analyzing the data.

COORDINATION OF THE UNIVERSITY SYSTEM IN ONTARIO

In Ontario, major responsibility for coordination in the university system at the time of the researcher's visit rested with the Committee on University Affairs. This committee consisted of thirteen members, including a full-time chairman, and contained approximately equal representation from the universities, and from the business and professional world. The Committee had no executive powers. Its function was to advise the Minister of University Affairs:

. . . the said committee to study matters relating to the establishment, development, operation, expansion and financing of universities in Ontario and to make recommendations thereon to the Minister of University Affairs for the information and advice of government (Committee on University Affairs, Annual Report, 1969-70:38).

The Committee had no permanent staff. For its secretariat it made use of the Department of University Affairs, which consisted of six branches: Administrative Services, Architectural Services, Finance, Information, Research, and Student Awards. The functions of the Department of University Affairs, in addition to providing secretarial support to the Committee on University Affairs, included the administration of government policies, with particular reference to university financing.

The fourteen provincially-assisted universities of Ontario were represented by a voluntary association known as the Council of Ontario Universities, which consisted of all university presidents and one academic staff member from each university. The Council had a staff of 35, including an Executive Director, working in five different divisions: Secretariat and Research Division, Office of Library Coordination, the Advisory Committee on Academic Planning, the Office of Computer Coordination, and the Ontario Universities' Application Centre. Representatives of the Council of Ontario Universities and the Committee on University Affairs sat together on a number of joint sub-committees: Finance, Capital Studies, Graduate Studies, and Educational Technology.

The fourteen provincially-assisted universities are listed in Table 2 on the following page, together with year of their establishment and 1970-71 enrolments.

The structure of the Ontario University system is shown diagrammatically in Figure 2.

Table 2

The Provincially-Assisted Universities of Ontario

University	Established	Enrolment (1970-71)
Brock	1964	2,161
Carleton	1943	8,272
Guelph	1964	6,217
Lakehead	1965	2,656
Laurentian	1960	2,462
McMaster	1887	7,931
Ottawa	1849	8,095
Queen's	1841	7,753
Toronto	1827	25,090
Trent	1963	1,635
Waterloo	1956	12,018
Western	1878	13,281
Windsor	1953	5,530
York	1959	9,787

^aFrom the Report of the Minister of University Affairs,
1970-71:61.

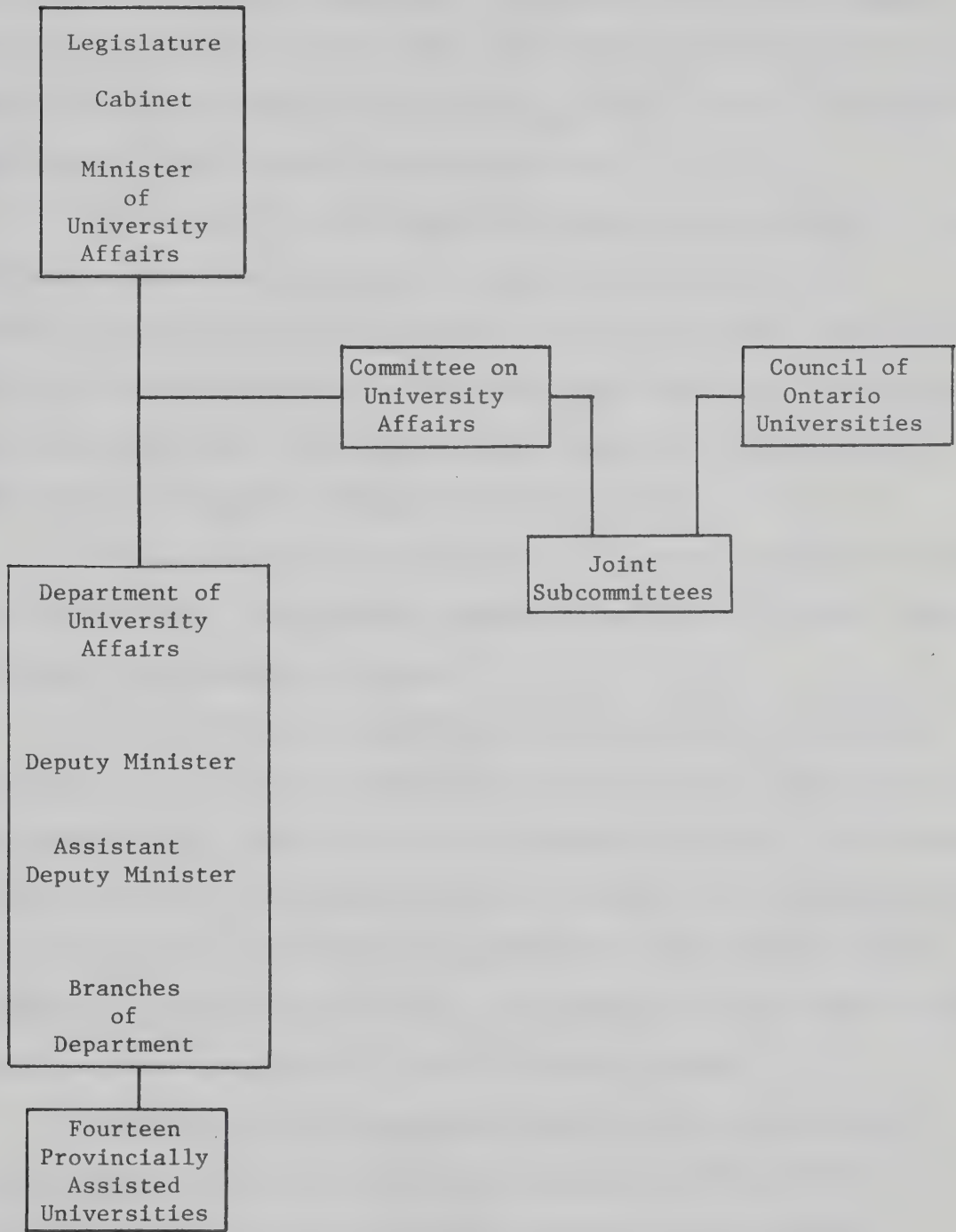


Figure 2

Structure of the Ontario University System 1971

COORDINATION OF THE UNIVERSITY SYSTEM IN ALBERTA

The principal agency for university coordination in Alberta was the Alberta Universities Commission, a body consisting of nine members, including a full-time chairman. The Deputy Minister of Education and the Deputy Provincial Treasurer were ex officio members; the six others were appointed by the Lieutenant Governor-in-Council.

The Commission's powers were both regulatory and advisory. It was required to advise the government on annual levels of support for university operation and capital needs, and at the same time was expected to regulate the distribution of government grants among the institutions. In program development, the Commission was empowered to regulate the addition of new program offerings by the universities.

The Commission had a full-time staff of three, in addition to the full-time chairman. Staff members worked in the areas of Finance, Capital Development, and Academic Planning.

Associated with the Commission in coordinating the University system was the Universities Coordinating Council, a body consisting of the presidents of each university, the vice-president or senior vice-president of each university, two deans and two other members of the academic staff of each university appointed by the general faculties councils of the universities, and not more than three other members of the academic staff of each university appointed by the Coordinating Council.

The duties of the Coordinating Council were to advise general faculties councils and the Universities Commission either voluntarily or on request on any matter affecting the universities collectively, to determine affiliation agreements with other institutions, and to exercise control over the assessment of qualifications of persons seeking

membership in the professions.

The University Capital Development Committee, consisting of three persons named by the Lieutenant Governor-in-Council and three named by the Commission, was required to meet at least four times annually to review the needs of the universities with respect to all major capital projects, such as new buildings, land acquisition, and campus development. Traditionally, government representatives on the Capital Development Committee were the Ministers of Education, Public Works, and the Provincial Treasurer. All major capital development matters were referred by the Commission to the Capital Development Committee for approval.

Table 3 lists members of the university system of Alberta with the years of their establishment and their 1970-1971 enrolments.

Table 3
The Universities of Alberta^a

University	Established	Enrolment (1970-71)
Alberta	1908	18,345
Calgary	1966	9,237
Lethbridge	1967	1,409
Athabasca	1970	-

^aData taken from the Annual Report of the Alberta Universities Commission, 1970-71:15.

The structure of the Alberta university system as of September, 1971, is shown in Figure 3 on the following page.

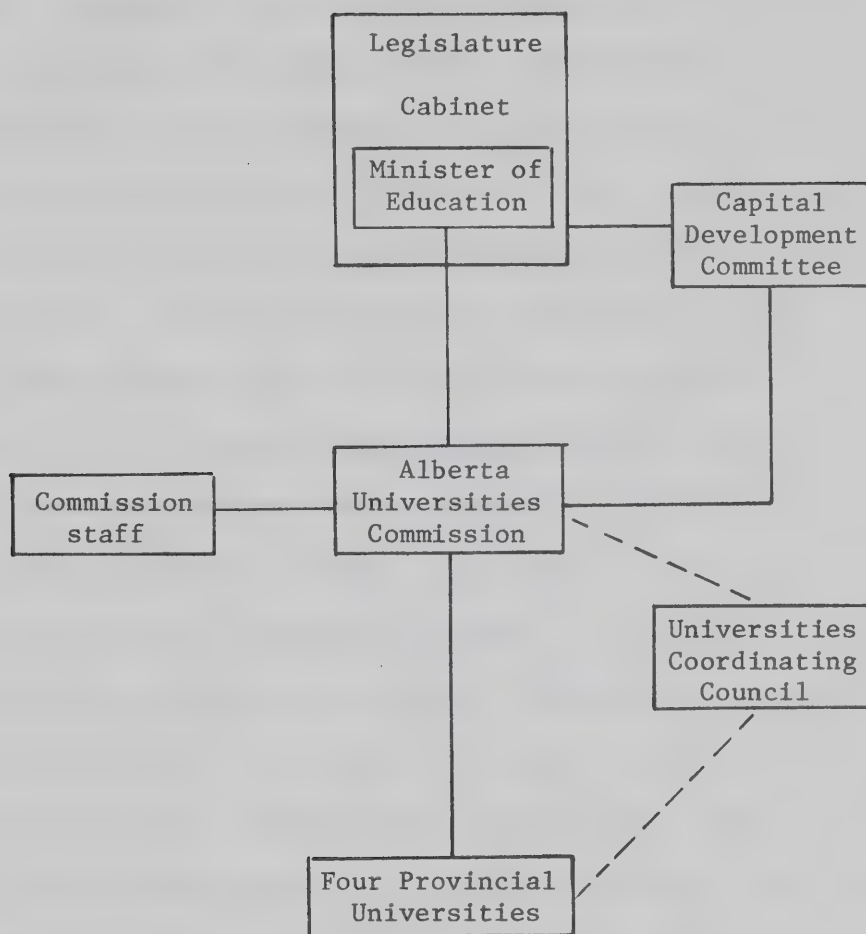


Figure 3

Structure of the Alberta University System 1971

COORDINATION OF THE ONTARIO COLLEGE SYSTEM

At the time of the researcher's visit, the Ontario Council of Regents for Colleges of Applied Arts and Technology consisted of fifteen members, including a full-time chairman. The Council's original terms of reference provided for a chairman and a vice-chairman to be elected annually, but in May of 1970 the first full-time chairman commenced duty. Membership on the Council was broadly representative of geographical areas of the province, of business, industry, and the professions.

Council powers were both advisory and regulatory. The Council was responsible for the original appointments of eight members to each college board of governors, and continued to appoint members to replace those resigning or retiring from office. The Council was advisory to the Minister in matters of program development in the colleges, on selection of sites for new colleges, on terms and conditions of salaries, and on admission requirements and fees. The Council was given no jurisdiction over the allocation of operating and capital grants among the colleges.

Closely associated with the Council of Regents, and acting as its secretariat, was the Applied Arts and Technology Branch of the Department of Education. The Branch had three well-defined functions: (1) it acted as a resource to the colleges, (2) it acted as the Council's secretariat, the Council having no staff of its own, and (3) it implemented government policy with respect to the colleges. The Branch had a staff of approximately forty officers whose responsibilities were to one of the following divisions:

1. Administrative Services, which was responsible for operating and capital support of the colleges;

2. Educational Services and Staff Resources, which was concerned with professional development of college staffs, and with the collective bargaining which was necessary in salary determination;

3. Curriculum and Student Services, which was responsible for the establishment of Provincial Consultative Committees to review program development, and for providing consultative assistance to the colleges in specific program areas. Curriculum coordinators responsible for Student Services worked primarily in the area of counselling.

4. Program Coordination and Agreements. This division was responsible for the coordination of Federal Manpower Retraining Programs, and for the training of apprentices for the Ontario Department of Labor. Four Regional Coordinators each were given responsibility for a particular substantive area (Apprentices, Indian Affairs, Citizenship, and Business and Industry) and for a particular geographic area of the province, to which they acted as liaison with the Branch and as resource personnel in helping colleges deal with emergent problems in almost every facet of their operation. Also attached to this Division were five Management Program Supervisors, who had responsibility for organizing courses for businessmen interested in such things as market opportunities in overseas countries. These programs were conducted in the colleges but were initiated by the Applied Arts and Technology Branch in conjunction with such bodies as the Department of Trade and Commerce, or with other government departments, or with Chambers of Commerce.

The close association between the Council of Regents and the Applied Arts and Technology Branch was emphasized by the fact that the Council's chairman formerly occupied the position of Director of the Branch, and that senior Branch officers acted as secretaries to Council

of Regents Committees.

The Ontario college system consisted of twenty colleges of Applied Arts and Technology, all of which were established within two years of the inauguration of the college system, in 1965. Table 4 provides information on college enrolment for the 1971-72 year.

Figure 4 provides diagrammatic representation of the structure of the Ontario college system.

COORDINATION OF THE ALBERTA COLLEGE SYSTEM

The coordinating agency for the Alberta college system was the Alberta Colleges Commission, established in 1969 and consisting of nine members which included a full-time chairman appointed by the Lieutenant Governor-in-Council, the Deputy Ministers of Education and Agriculture and the Deputy Provincial Treasurer ex officio, and five other members appointed by the Lieutenant Governor-in-Council. These members were broadly representative of the geographic regions served by members of the college system.

The Commission's powers were both advisory and regulatory. It was advisory to the provincial government in respect of the establishment of new colleges and the annual total college budget. It had regulatory powers in the matter of distribution of operating grants, in program development, and in capital development. It held power of approval over college decisions on admission requirements, tuition fees, and the provision of new courses.

The Colleges Advisory Committee consisted of all college presidents, representatives of the Alberta Association of College

Table 4
The Colleges of Ontario^a

College	Enrolment (1971-72) ^b
Algonquin	6,200
Cambrian	5,800
Centennial	12,220
Conestoga	5,600
Confederation	1,625
Durham	2,000
Fanshawe	14,000
George Brown	17,000
Georgian	3,100
Humber	9,750
Lambton	1,939
Loyalist	2,100
Mohawk	13,550
Niagara	7,850
Northern	1,687
St. Claire	8,000
St. Lawrence	4,795
Seneca	21,600
Sheridan	6,450
Sir Sandford Fleming	4,600

^aData were extracted from Horizons, a guide to educational opportunities published by the Department of Colleges and Universities, 1971.

^bEnrolments include part-time and full-time students.

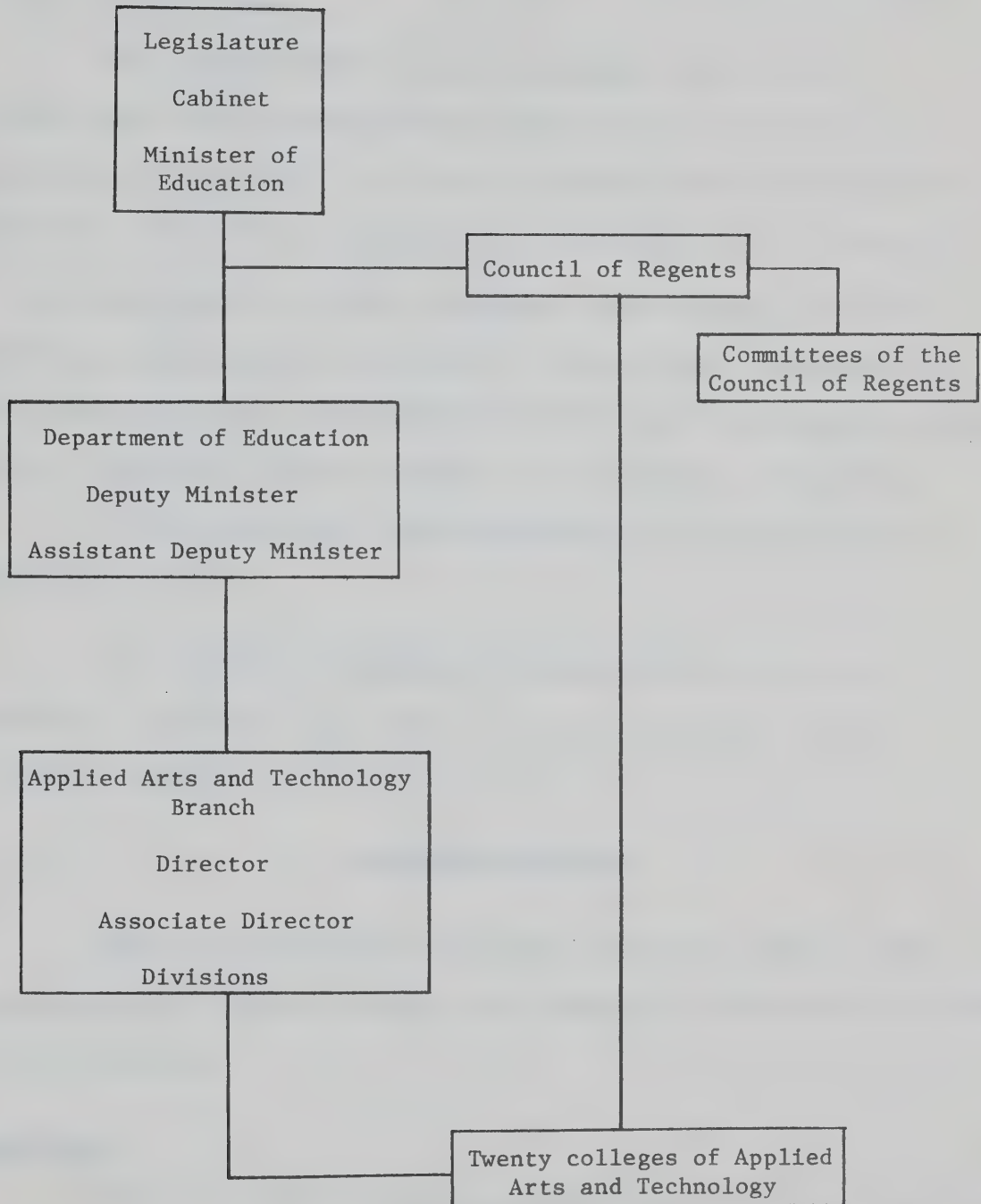


Figure 4

Structure of the Ontario College System 1971

Administration, and representatives of the Alberta Association of College Faculties. The Advisory Committee had no official status, but had been granted a recognized place in the coordinating structure of the college system.

The Colleges Commission had a permanent staff of five, consisting of the Chairman and four Directors: the Director of Administrative Services, the Director of Instructional Services, the Director of Research and Planning, and the Comptroller. At the time of the investigation the staff complement also included an executive assistant and an Information Officer. The staff were responsible to the Commission Board. The Chairman, who was also chief executive officer of the Commission, reported directly to the Minister of Education.

The Alberta college system consisted of six institutions, as shown in Table 5.

The structure of the Alberta College system is shown in Figure 5. A summary of the data so far presented in this chapter is given in Table 6.

RESEARCH PROCEDURES

Data on the operation of the four coordinating agencies were obtained chiefly through interview, but augmented by information collected by questionnaires.

Interviews

Each of the four coordinating agencies was visited and interviews arranged with as many senior officers as were available at the time of the visits. Persons interviewed included past and present members of the

Table 5
The Colleges of Alberta^a

College	Established	Enrolment (1970-71) ^b
Grande Prairie Regional College	1965	236
Grant MacEwan Community College	1971	-
Red Deer College	1964	825
Mount Royal College	1966	2268
Lethbridge Community College	1957	842
Medicine Hat College	1964	334

^aInformation for this table was extracted from the Second Annual Report of the Alberta Colleges Commission, 1970-71:36.

^bThese enrolment figures are expressed in terms of full-time equivalent enrolments.

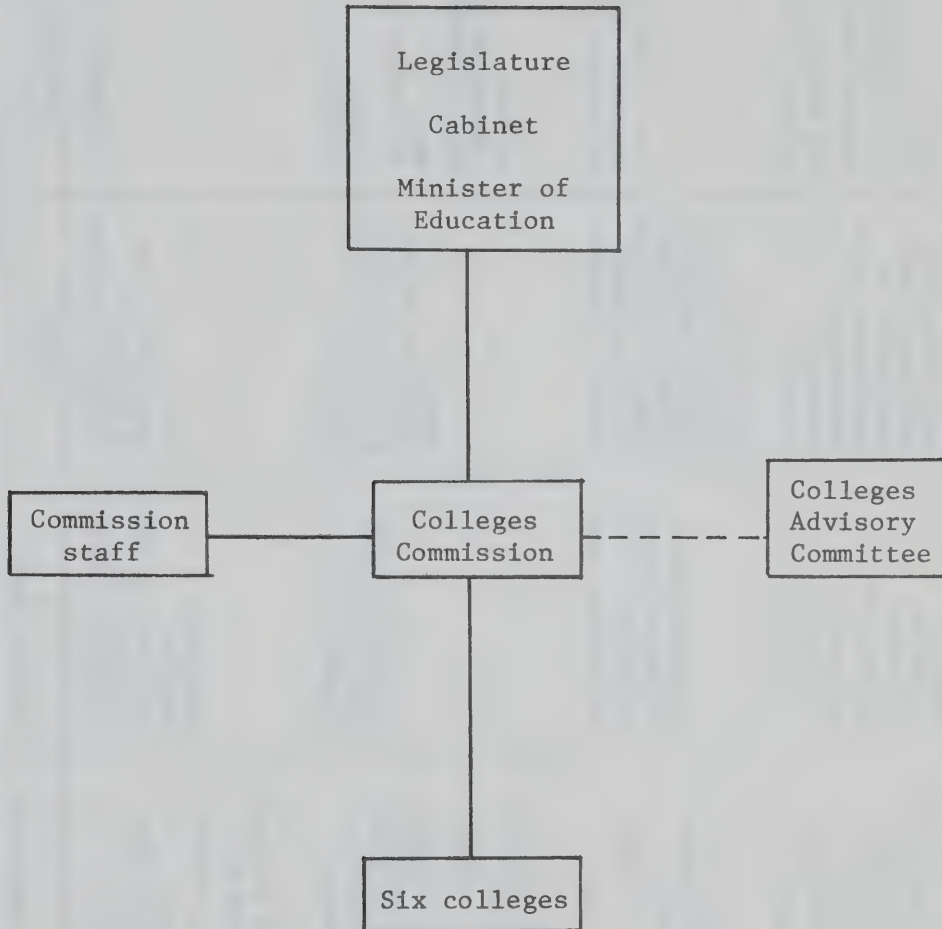


Figure 5

Structure of the Alberta College System 1971

Table 6

Summary of Structures and Functions of Coordinating Agencies

Agency	Members	Nature of Membership	Permanent Staff	Functions	
				Advisory	Regulatory
Ontario Committee on University Affairs	13	Public and institutional, in approximately equal proportions; full-time chairman; appointments by Lieutenant Governor- in-Council	No permanent staff; Department of University Affairs acted as secretariat	Advisory to Minister of University Affairs over broad area	No regulatory powers
Alberta Universities Commission	9	Six lay members; Deputy Minister of Education and Deputy Provincial Treasurer <u>ex officio</u> members; full-time chairman; appointments by Lieutenant Governor- in-Council	Permanent staff of four, including full-time chairman	Advisory to government on annual levels of operating support and capital needs	Apportionment of capital funds; distribution of operating grant; power of approval over introduction of new programs
Ontario Council of Regents	15	14 lay members; full-time chairman; appointments by Lieutenant Governor- in-Council	No permanent staff; secretariat provided by Applied Arts and Technology Branch	Advisory to Minister on college master plans for capital and academic development, salaries, admission requirements and tuition fees	Appointments of eight members to each college board of governors
Alberta Colleges Commission	9	5 lay members; Deputy Ministers of Education and Agriculture, and Deputy Provincial Treasurer <u>ex officio</u> members; full-time chairman	Permanent staff of 5, including chairman; in addition, information officer and executive assistant	Advisory to provincial government on establishment of new institutions, on total annual budget for operating and capital support	Allocation of capital and operating grants; power of approval over new programs, admission requirements and tuition fees.

boards of the agencies, members of the staffs, and presidents of institutions in the various systems. Table 7 sets out in greater detail the positions held by those with whom the researcher conducted interviews.

Interviews were semi-structured in that several questions were prepared in advance of each interview. Sample interview guides are included in Appendix A. However, these prepared questions were not intended to dictate the course of the interviews, nor were they permitted to do so. Where interviewees showed a tendency to carry the interview, they were encouraged to do so on the assumption that a spontaneous account of agency activities would be more illuminating than one directed into narrow channels by the researcher. All interviews were tape-recorded, with the permission of those interviewed.

Questionnaires

Questionnaires were sent to all members of agency boards, agency staffs, and institution presidents who were not available for interview. Table 8 sets out the numbers and positions of those who returned questionnaires. Sample questionnaires are contained in Appendix B.

Additional Data

Data in addition to that collected by interview and by questionnaire included personal correspondence with the first Chairman of the Alberta Universities Commission and with a finance officer of the Applied Arts and Technology Branch in the Ontario Department of Education, telephone conversations with various officers of all agencies but particularly those in Alberta, and documentary sources either published by the agencies or associated bodies, or made available to the researcher by those with whom interviews were conducted.

Table 7

Positions Held by Persons Interviewed

Province	System	Positions
Alberta	University	3 staff members and one former member of staff of the Universities Commission;
		one member of the board of the Universities Commission;
		3 university presidents;
		one university vice-president
	College	Chairman and 4 staff members of the Colleges Commission;
		former Chairman of the Provincial Board of Post-Secondary Education;
		one member of the board of the Colleges Commission;
		two college presidents
Ontario	University	Chairman, one member and one former member of the Committee on University Affairs;
		Deputy Minister, former Deputy Minister, 2 Assistant Deputy Ministers, and 4 officers of the Department of University Affairs;
		Executive Director, Executive Vice-Chairman of Advisory Committee on Academic Planning, Director of Research and Secretary of the Council of Ontario Universities;
		one university president

Table 7 (continued)

Province	System	Positions
Ontario	College	<p>Chairman of the Council of Regents;</p> <p>Director, Associate Director and 4 senior officers of the Applied Arts and Technology Branch of the Department of Education;</p> <p>Deputy Minister of Education;</p> <p>Assistant Deputy Minister of Education;</p> <p>2 former college presidents</p>

Table 8

Positions of Persons Returning Questionnaires

Province	System	Positions
Alberta	University	2 members of the board of the Universities Commission
	College	<p>2 members of the board of the Colleges Commission;</p> <p>2 college presidents</p>
Ontario	University	<p>2 members of the Committee on University Affairs;</p> <p>4 university presidents</p>
	Colleges	<p>5 members of the Council of Regents;</p> <p>8 college presidents;</p> <p>3 officers of the Applied Arts and Technology Branch</p>

Nature of Information Sought

Interviewees, to a large extent, were permitted to generate their own questions. This technique proved to be a satisfactory method of data collection because almost without exception interviewees were generous with their time and willing to talk freely about their work in the various agencies or associated bodies. There were, however, questions to which interviewees were asked to respond if their answers were not provided voluntarily during the course of discussion. These questions may be briefly summarized:

1. Questions for Agency Chairmen or Directors.

Why was the agency established?

What determined its structure?

What is the nature of its work?

Where has it been most successful?

What factors might have prevented it from being more successful?

2. Questions for Agency Staff.

What is the nature of your work in the agency?

On what activities do you spend most of your time?

What factors determine the kind of work you do in the agency?

Where are the results of your work used?

What factors might place constraints upon your work?

3. Questions for Institution Presidents.

To what extent has the agency been effective in promoting development of the system?

What factors tend to prevent it from being a more effective instrument for system development?

4. Questions for Board Members of agencies.

How do you see the agency's purposes and functions?

Where has the work of the agency met with its greatest successes?

How could the agency be made more successful?

5. Questions for Members of the Staff of the Council of Ontario Universities.

What part does the Council of Ontario Universities play in promoting the development of the Ontario university system?

What is the nature of the relationship between the Council of Ontario Universities and the Committee on University Affairs?

Data Analysis

The recorded interviews were transcribed verbatim. In approaching the task of presenting the data in a concise but comprehensive form, a rigorous selection was necessary. This selection was made by reference to the conceptual framework, which not only facilitated the extraction of relevant data from hundreds of pages of typed text, but which also provided the broad headings under which agency operations were described, analyzed, and compared.

One of the problems often faced by researchers using interview techniques for data collection, is in resolving conflicting reports or statements, particularly with respect to historical events for which no documentary verification is available. In the present study, this problem did not occur. In most cases there was adequate documentary support for statements made in interview. Even in matters of judgement no wide differences among interviewees seemed to exist, a circumstance that might be explained in part by the relative youth of the agencies and in part by the fact that most interviewees had been associated with their

particular agencies for as long as the agencies had existed. In cases where interviewees' opinions have been quoted in the text of the study, this was done only with permission of the persons responsible for those opinions.

Chapter 4

THE ONTARIO UNIVERSITY SYSTEM

Up to 1962 it could have been said that the Ontario university was a law unto itself. Relations among the individual institutions were infrequent and casual; the only formal contact being through the University Matriculation Board which met normally once a year and whose terms of reference were limited to matters bearing upon university admission (From the Sixties to the Seventies, 1966:15). In those days the universities were left very much to themselves in matters both administrative and academic, and the system evolved with little evidence of deliberate planning.

In the 60's any university that wanted to introduce a new program just went ahead and introduced it. There was no provincial examination of any kind; the university just went ahead and opened up the new program. As a matter of fact even the much greater decision of where to have universities was reached without any planning. There were ad hoc decisions to open the new universities in the 60's, responses to local pressures in various areas, no real assessment of what the long-term need was going to be, and how many universities there should be, and whether they should have unlimited charters. All of them able to do graduate work, all of them able to aspire to graduate schools--those things were simply never questioned in those days (Macdonald, 1971).

The decade of the sixties was characterized by enormous expansion in university enrolments and, in 1966, of Federal withdrawal from direct university financing. In 1960-61 there were just over 29,000 full-time students in the provincially-assisted universities; in 1970-71 there were 113,000, a four-fold increase over the decade. This growth (an average of over 14% a year) reflected the compounding effect of increased university-aged population and a participation rate

(of the 18-24 year age group) which more than doubled in the decade. Growth rates in undergraduate and graduate enrolments were almost identical (Towards 2000:48).

The Province of Ontario found itself in the position of having to put more and more of the provincial budget into university education. Whereas in the financial year ending 1961 the provincial government paid less than one third of a total operating budget of \$56 million, by 1971 it was paying almost the whole of an operating budget of \$382 million (Report of the Minister of University Affairs, 1970-71:81). Support for capital works increased proportionately. With so much public money flowing into the universities, it was to be expected that the provincial government, sooner or later, would express an interest in knowing how the universities were making use of it.

EARLY COORDINATION ARRANGEMENTS

As long ago as the early 1950's the Ontario government had recognized that university financing was a matter on which it required special advice, and had appointed an advisor to provide that advice. During the 50's the increasing size of grants and the founding of several new universities resulted in the establishment of a committee of senior civil servants to undertake the advisory role. This committee, named the University Committee, set itself the task of gathering from each university detailed information to assist it in arriving at an equitable basis for the distribution of grants. These data included enrolment by faculty and years, salary scales, faculty numbers, statistical and financial data on operating income and expenditures, and a five to ten year projection of capital building programs.

Early in 1961 the provincial government reorganized the University Committee to include representation from outside government. The new committee, named the Advisory Committee on University Affairs, consisted of six members appointed from business and industry and also included Ontario's Chief Justice.

Over the ensuing three and one-half years the Advisory Committee met on a regular basis with senior officials and governors of each university to review requests for operating, capital, and special grants, and to make recommendations to government on these matters. This committee in 1962 took the unprecedented step of calling together the university presidents to discuss an anticipated enrolment crisis and to plan measures by which it might be averted.

During this time, as in preceding years, officials of the Department of Education undertook the necessary administrative tasks related to the work of the Advisory Committee. The explosive growth in university enrolment, however, and the significant increases in both actual and relative contributions of the province to the universities, called for a different structure. The need for a full-time organization that could deal with the complex problems of university education became increasingly apparent (Report of the Minister of University Affairs, 1967:8-9).

The new organization took the form of a separate department of government, the Department of University Affairs, and of a reconstituted Advisory Committee on University Affairs. In 1964, the Committee was expanded to include university representation approximately equal in numbers to the business and professional group. In 1967, following the death of the then chairman, Dr. D. T. Wright was named the Committee's

first full-time chairman, a position which he held until 1972, when he resigned to take up appointment as Deputy Provincial Secretary for Social Development.

VOLUNTARY COOPERATION

The Committee of Presidents of Provincially-Assisted Universities of Ontario grew from the 1962 meeting of presidents with the Advisory Committee on University Affairs. Subsequent to that meeting, in December of 1962, the first formal meeting of the new association was held. Between 1962 and 1964, the Committee of Presidents was active in several projects. A special Academic Subcommittee, under the chairmanship of Dr. John Deutsch, recommended substantial government assistance for graduate expansion as one way of meeting the enrolment crisis. This committee was influential in promoting the establishment of the Province of Ontario Graduate Fellowship Program, and of obtaining from government the assurance of further support for graduate work. Deutsch's Subcommittee undertook two further studies in 1963, one on the structure of post-secondary education in Ontario, and the other an analysis of the universities' forecasts of their enrolment and their estimates of future operating and capital costs. The latter study, which was presented to the Presidents in October of 1963, urged the universities to agree among themselves on some measure of coordination lest the initiative be taken by some other authority.

In 1966 the Committee of Presidents appointed a full-time chairman and adopted a formal constitution which included the following statement of objectives:

. . . to promote cooperation among the provincially-assisted universities of Ontario and between them and the government of the

Province, and, generally, to work for the improvement of higher education for the people of Ontario (First Annual Review of the Committee of Presidents, System Emerging, 1966-67:46).

During the six years between 1966 and 1972 the Committee of Presidents assumed additional responsibilities and effected a change in its membership. Effective May 1, 1971, the Committee changed its name to the Council of Ontario Universities and added to its membership one colleague elected from each university by its senior academic body. By December 1971, the Council's staff had increased to 35. Macdonald (1971) explained why the Council had come to occupy such an important position in Ontario's university system:

We are all dependent in Ontario on one government for virtually all the money. In the second place we get that money on a formula basis, so universities can't jockey for preferred positions. Therefore, if they are going to make their voice known they have to make it known collectively, and I think that makes a big difference in terms of the need for a Council and the degree to which it has been effective.

The existence of the Council as a voluntary association of university representatives posed certain problems. In the first place, universities were not members of the Council; people representing the universities were the members, and no university senate or board of governors was bound to abide by the Council's decisions. There seemed little doubt that the Council had status in the eyes of the university community by virtue of its top-level membership. But its decisions carried no official status, and in the long run its influence on the universities depended only on the logical appeal of its arguments and the ability of individual presidents to convince their governing bodies of the need to go along with the Council's recommendations. There was a moral suasion element to be considered. Macdonald (1971) gave the example of a Council recommendation to member universities to cease

advertising for graduate students in foreign journals:

No we have no power over the universities, but there is a great deal of moral and ethical power to the decision, and it's very hard for a university to ignore what the Council has said when the university has had its opportunity to argue the case if it wants to on the Council.

The Council's greatest successes appear to have been in the realm of cooperative enterprises, such as the development of a comprehensive bibliographic resource to serve the needs of all the universities, and the development of a computer system to assist the universities by providing a network of data-communication lines, establishing a system of tariffs for inter-university computing services, and by enabling the universities to use joint purchasing power. The Council's (it was then known as the Committee of Presidents) Fourth Annual Review, Variations on a Theme (1970:2-4) listed among its functions, in addition to cooperative enterprises, those of coordination, planning and analysis, and negotiations with the Committee on University Affairs through the joint subcommittee structure. Under coordination, the Council subsumed the development of a system for the appraisal of graduate programs, the development of common admission practices, the development of compatible information systems, the systematic exchange of information about short-range and long-range goals, and the adoption of a method of coordinating enrolment projections. Under planning and analysis, the Council saw its function as providing a source of input to decision-making at government level through the Committee on University Affairs:

The studies provide a basis for consideration of CPUO [now the Council of Ontario Universities] and the Committee on University Affairs of the issues involved in planning In many instances the ultimate decisions lie with government, but the decisions are helpfully influenced by the existence of analyses and judgements emanating from the Committee of Presidents.

COMMITTEE ON UNIVERSITY AFFAIRS :

STYLE OF OPERATION

The Committee's "style of operation" is described by reference to its composition, purpose, and functional relationship with both the Department of University Affairs and the Council of Ontario Universities.

Composition

The role of the lay members on the Committee was described by Wright (1972):

. . . the committee couldn't have been as credible had it only included the academic members. The lay members not only made sure that we were talking sense, but moreover the lay members added a great deal to the credibility of the Committee with government and with the world outside the universities

The academic members, particularly with respect to Committee dealings with the universities, appeared to take a more active role than the lay members. As Wright (1972) pointed out: "We knew the questions to ask, so it was only natural that we should."

The role of the chairman, Dr. D. T. Wright, appears to have been significant. Wright's personal reputation and ability, the confidence placed in him by the Minister of University Affairs, and the fact of his being the only full-time member of the Committee, undoubtedly enabled him to exert a strong influence on all Committee decisions.

Purposes

The terms of reference of the Committee on University Affairs were never made explicit. The Committee itself took the following view of its place in the university system:

The most important function of the Committee on University Affairs relates to the formulation, for consideration by government, of policies affecting all universities. The other

principal task of the Committee is the provision of advice on levels of operating support needed, from year to year, and on the needs and priorities in capital spending. The Committee is also concerned with such matters as new legislation, program development in universities, and the establishment of new institutions.

In responding to such circumstances, the Committee on University Affairs has been well aware of the delicate balance required in providing for the needs of such a rapidly expanding system without extravagance or waste, while at the same time preserving the effective autonomy of individual institutions. In its efforts to develop general policies the Committee on University Affairs has been most concerned with finding effective bases of development and total fiscal control related to overall function as opposed to any movement towards overt control of detail (Report of the Committee on University Affairs, 1967:8).

The Prime Minister of Ontario viewed the Committee primarily as an instrument for ensuring adequate supplies of skilled manpower, and expressed this view bluntly:

What we need is a group of men who all belong to the university world, with a leavening of men that belong to the business world Surely they will sit down and do the necessary research, and have it done by scholars or whoever must do it, so they can advise this government where we might best put the taxpayers' dollar in order that we have the proper medical care, in order that we may have a flow of doctors coming into our society. And of course this applies to all other faculties and disciplines (From the Sixties to the Seventies, 1966:56).

From the foregoing it would appear that the Committee on University Affairs was motivated by the following policies:

1. Social Responsiveness. An open door policy which would allow equal opportunity for all qualified students.

2. Efficiency. Reduction of duplication and the effective allocation of resources, and the use of methods which would reduce waste and increase the number of students served by the system without reducing the quality of education.

3. Labor Market Supply. The anticipation of society's needs for highly trained manpower and the provision of graduates to meet those needs.

4. Institutional Autonomy. The Committee sought to establish policy and financial restraints within which the universities could have full discretion.

Relationships with Other Agencies

To throw further light upon the nature of the Committee's style of operation, its relationships with government, the Department of University Affairs, and the Council of Ontario Universities are briefly discussed.

Relations with government. Interviewees generally agreed that the influence of the Committee on University Affairs with the Provincial Government was very strong. The Committee was entirely free from political pressures (Wright, 1972) and was left completely to itself in arriving at decisions with respect to the advice given government on university matters. The Minister of University Affairs had implicit faith in the Committee (Stewart, 1971) and demonstrated that faith by never on any occasion attending a meeting of the Committee. While interviewees agreed that the Committee was virtually able to chart its own course, free from government direction, there was doubt in few minds that the Committee's interests were strongly oriented on the side of government.

In Ontario the Committee on University Affairs is set up as a government agency by the Minister and is specifically called upon to advise the Minister. I think that means automatically that it is going to try to see issues from the standpoint of the government in terms of the government's overall views of priority and needs of society, not just the universities' welfare (Macdonald, 1971).

One factor accounting for the Committee's apparent independence might have been that the Education and University Affairs portfolios were both held by the one person, Hon. W. G. Davis. One interviewee

stated: "Davis held both portfolios, and he probably spent 95% of his time on Education rather than University Affairs, and in fact therefore the Committee on University Affairs pretty well ran the show." Another interviewee expressed a similar opinion: "Under Mr. Davis as Minister, once the Committee on University Affairs had agreed to something you might as well assume that it would be approved."

Relations with the Department of University Affairs. The relationship between the Committee and the Department was always quite close, with Departmental officers acting primarily as research and information agents for the Committee, and concerned with developing procedures for the distribution of government grants. Senior Department officers were always present at Committee meetings, and served on subcommittees of the parent body, and on joint subcommittees of the Council of Ontario Universities and the Committee on University Affairs. Stewart (1971) believed that in some respects Committee and Department functions were difficult to separate:

. . . in a sense they weren't really separate activities with respect to planning. The senior staff people always sat with the members of the CUA [Committee on University Affairs] when discussions were held about future recommendations, and their input was undoubtedly part of the consideration. If the Committee then said in order to reach decisions on this we are going to need certain information, then the staff people would go off and arrange to prepare the necessary papers and background analysis, and would be back at the next meeting with all of that work prepared. So if you see the Department personnel as the Committee's staff, then they were not really separate activities (Stewart, 1971).

Department staff were useful in another way, by providing input data on the feasibility of implementing certain decisions reached in Committee discussions. Stewart (1971) explained that Department staff personnel understood the government point of view, and the kinds of reasonable goals that were consistent with government funding policy.

Relations with the Council of Ontario Universities. The Council of Ontario Universities saw the relationship as a balance of power:

Herein lies the unique strength of the Ontario system. The Committee on University Affairs is advisory to government. It is balanced by the Committee of Presidents representing the interests of the universities. The Committee on University Affairs is expected by both sides to view the development of the universities from the standpoint of the public interest. The Committee of Presidents, preoccupied with the development of strong institutions, while not insensitive to the public interest, may view the advancement of university education differently from the Committee on University Affairs. The two bodies are poised to balance each other and create for both the public and the universities confidence in the system (Variations on a Theme, 1969-1970:6).

Formal meetings between the Committee on University Affairs and the Council of Ontario Universities were described by the Symons Report (1971:2) as "largely ritualistic and perfunctory." Macdonald (1971) believed, however, that valuable work was achieved in the joint sub-committees:

We have a whole series of joint subcommittees with the Committee on University Affairs dealing with operating grants, with capital financing, with graduate development, with educational technology, and these committees . . . work very well on the whole. People are not ritualistic there; they are trying to produce solutions to problems instead of arguing about whether it's a problem or not, so at the working level I would say the relationship is really quite good (Macdonald, 1971).

Another feature of the work of the Council of Ontario Universities has been its tendency to respond to issues rather than to seize the initiative in undertaking studies and projects. Wright (1972) stated that the Council had been effective only under threat of external action, even in cooperative ventures. Macdonald (1971) agreed to some extent:

. . . it tends more often than not to be an initiative from the Committee on University Affairs side. They identify something that they think is important, and we respond. I'm not so sure that's a bad idea because it gives to the work of the Council some sense of urgency. Universities don't want to plan, and if they don't think it's necessary they would rather not do it

Relations with the universities. Wright (1972) thought that the Committee on University Affairs had always possessed the power to extend its control far into the internal structure of the institutions, but that the Committee members had resisted the temptation:

. . . had the Committee and the personalities associated with it really decided to invade the autonomy of the universities, even in the halcyon days, there was very little to stop us. There was very little that would have been inhibiting. One could have invaded the universities at a fearful rate [and] the universities themselves asked for it in many ways; had we seen individual groups and traded with them, we then would necessarily have constrained internal allocation of resources The universities were making such a thing of autonomy, but were in fact not only open and vulnerable, but sought what amounted to intervention in that the special clienteles requested individual hearings, treatment, and specially allocated or earmarked moneys.

From the universities' point of view, the Committee on University Affairs occasionally caused resentment by acting unilaterally, without consultation. Several presidents provided examples where the Committee had been responsible for withholding funds for academic or capital development in their particular universities without prior discussion. The president of one of Ontario's largest universities expressed his view that the Committee's function was not to promote system development, but to contain it: "The Committee is not there to help; it is there as an adversary who must be persuaded and cajoled into doing things."

PRINCIPAL AREAS OF PLANNING AND COORDINATION

Although the areas in which the Committee on University Affairs was to be chiefly concerned were not made specific, most of its work appeared to be undertaken in the three major areas of operating support, capital development, and program development. Each of these areas will be examined for insight into the way in which the Committee on University Affairs approached its task of planning and coordination.

Operating Support for the University System

In the early days of the reconstituted Committee on University Affairs, operating funds were distributed on the basis of line by line budgeting. The Committee visited each university where meetings were held with small deputations which put forward the case of their university for a particular level of support. In later years, particularly since Wright's appointment to full-time chairman, endeavors were made to develop a system whereby operating grant distribution could be made more routine a process. It was at this time that the joint subcommittee on Finance was established between the Committee and the Council of Ontario Universities, then known as the Committee of Presidents. The result was a scheme for formula financing, developed in the joint subcommittee and approved by the Minister "to provide an objective mechanism for determining the share of the total provincial grant to be allocated to each university (Hansen, 1969:1)."

The formula was designed to provide operating funds to the universities which roughly approximated their needs as indicated by enrolment and the relative costs of various types of program. Once the grant was made, however, the universities were free to allocate the money among their various faculties and departments as they chose, thus assuring that the government would not become too involved in the detail of university operation. The formula started with the assigning of weights to various categories of programs which at that time corresponded roughly with the cost to the universities of maintaining those programs. There were eight categories of program, as shown in Table 9, with weights ranging from 1 to 6.

Operating grants for each university were determined in the

following way. First, student enrolment was weighted according to the formula, and the weighted students in the various university programs summed to yield a total weighted enrolment for each university. This total weighted enrolment was multiplied by an amount which was established each year by government, on the advice of the Committee on University Affairs, as the value of the basic unit, which corresponded to a weight of 1 on the formula. Standard fees (usually the median of university fees for a program) were established for each program for the same year. The number of students enrolled in a program was multiplied by the standard fee, and the products of students and standard fees of all programs were summed to yield total standard fees. This total was subtracted from basic operating income to yield the amount of the government grant. The actual fees received by a university could then be added to government grants to yield total basic operating income exclusive of income from other sources. The value of the basic income unit (BIU) was adjusted each year according to the assessment of the Committee on University Affairs of the financial needs of the university system. The following extract from the Committee's 1960-70 Report will illustrate the rationale through which changes were made to the basic income unit:

For 1969-70, the value of the formula multiplier, the basic income unit, was \$1556. This represented a 5.5 per cent increase from the value of \$1450 used in 1968-69, and the integration of the previously separate computer grants, worth \$26 per B.I.U.

After careful review and much debate, and mindful of probable trends in inflation in the Canadian economy, the Committee on University Affairs recommended an increment of just over 11 per cent for the next two years, to be divided 6 per cent for 1970-71, and 5 per cent for 1971-72, to values of \$1650 and \$1730 respectively.

In view of the relatively high rates of inflation that have prevailed recently, it can be seen that the increments proposed

provide very little allowance for improvement. This reflects the conviction of the Committee on University Affairs that present absolute levels of support are reasonable and do not need special correction (Report of the Committee on University Affairs, 1969-70: 22).

Table 9

Formula Weightings for Ontario Universities

Category	Formula weight
1. General Arts and Science, Journalism, Social Work	1.0
2. Honours Arts, Commerce, Law, etc.	1.5
3. Undergraduate professional programs, Engineering, Agriculture etc.	2.0
4. Medicine, Dentistry and Veterinary Medicine	5.0
5. Master's level-- Professional programs without thesis requirements	2.0
6. Master's level-- Humanities and Social Sciences	3.0
7. Master's level-- Applied Sciences	4.0
8. All Ph.D. (except 1st year Ph.D. direct from Baccalaureate)	6.0

Very few changes, up to 1972, were made in the formula. Various programs were added, but the most significant change was that for students in categories 6, 7, and 8 who were reported on a trimester basis rather than on December 1 of each year as for other students. The intention of the Committee on University Affairs in making this change

was to take into consideration the fact that graduate students complete their programs at various times during the year, and by reporting on a trimester basis rather than annually, actual average student enrolment was somewhat less than actual enrolment on December 1, when most graduate students were still at work. Weights for medicine, dentistry and veterinary science were changed from 3 to 5, and medical and dental interns' weights were raised from 1.5 to 2.5 to reflect increasing costs and in lieu of what had been special grants in previous years for support of these programs.

Emergence Grants. Because the formula could not be applied as it stood to new universities which had to have special support to become established, or to new faculties and departments within older universities, in 1968 the government announced the adoption of a plan of support for "emerging" projects based on a time scale for emergence. Each of the new universities was to receive a supplementary grant of a stated percentage of the grant produced by the standard formula, diminishing over a number of years. This was later revised to be based on a pattern of support leading to emergence as defined by weighted enrolment. The Committee decided that Brock and Trent would be considered "emerged" when their weighted enrolment reached 4000; Scarborough and Erindale Colleges would "emerge" at 3000 because their status as affiliated with the University of Toronto should give them sufficient support at that enrolment level.

Response to the formula. Wright (1972) stated that the formula was adopted with a "single-minded zeal" on everybody's part:

I saw the formula as a guiding influence. But in fact as soon as it became available it became so attractive and compelling that almost all moneys were assigned by the formula, or if not directly by the formula, related to it. In the case of emerging universities

and in the case of the bi-lingual grants, and for the emerging grants for new operations such as McMaster's Medical School, extra-formula grants were determined as premiums on the formula, usually on a percentage basis, to decline over time to zero as the scale became viable.

Government policies underlying the formula were outlined by

Wright:

The formula system not only preserves a large part of university independence, but gives government simple pre-emptive control of unit costs. With the formula there is real incentive for the universities to be efficient and to manage their affairs well; any notion that improvement in efficiency in an institution will lead to a corresponding reduction in support is offset. Long-range planning is greatly facilitated. Rather than limiting initiative the formula system gives freedom to individual institutions to order priorities and take necessary decisions

Since the formula relate support to enrolment, there is a clear and simple inhibition against unnecessary duplication of academic programs. An institution must be able to anticipate sufficient average enrolments before inaugurating new programs. This is really a kind of market regulation which experience shows to be working with reasonable effectiveness. Proliferation of academic courses is virtually an infinite sink for resources in universities and colleges. In the three years since the formula was introduced (1967-70) the number of new courses/programs has been much less than in the previous three years (1964-67) (Wright, 1970:4-5).

Capital Financing

Until 1964, capital grants to the universities were made on an unconditional basis. Starting 1964, a system of individual grant approval was introduced by the Department of University Affairs. Then in 1967, a joint subcommittee of the Committee on University Affairs and the Council of Ontario Universities was set up to undertake studies in the search for an acceptable formula for capital financing. The objectives of the Joint Capital Studies Committee were stated as follows:

The intent of the capital grants formula is quite simple. Capital grants should reflect the extent and quality of existing physical resources (and their intensity of use), should reflect certain general standards applied uniformly to all institutions, should control dollars rather than the details of construction,

should leave the universities free to undertake priority and resource allocation decisions on their own, and should give clear indication that private support would complement rather than substitute for public support (Report of the Committee on University Affairs, 1969-70:32).

The Joint Capital Studies Committee retained the services of a management consultant in 1967 to undertake a complete physical resources inventory in the university system, and to conduct certain analyses of space utilization against which it was intended to calibrate standards for space allocation. The aggregate data on assignable space at each institution became available in 1969, and an interim capital formula was devised by the Joint Committee for application in the fiscal year 1969-70. This formula, with few modifications, continued to be used up to the time of the present study.

The basic concept of the interim formula was that the total space needs of a university would be measured in terms of net assignable square feet and derived according to a set of weights for different categories of students in a fashion roughly analagous to the operating grants formula. Various relative weights were assigned to each student category based on the type of program and the level at which the student was working. A unit of space was then applied to each weighted unit enrolment. Thus a total cumulative space need could be determined for any particular year. From this total cumulative space need was subtracted existing space in order to calculate the additional space required. A unit cost was applied to the additional space required and a cumulative dollar entitlement was calculated for any one year. This entitlement was based on the projected enrolment of the following year. The figure used for existing space--referred to as the Allocation Inventory--was fixed; that is, it did not increase as space was added.

Instead, a charge to the entitlement amounting to the total cumulative amount of funds provided since the inception of the formula was the only recognition of space having been added to the inventory of an institution. Thus the incentive to raise funds for building purposes remained, as did the incentive to build economically, since if for allocation purposes the only record kept by the allocating body was one of cumulative cash flow, then it was in the best interests of the universities to build as much space for as little money as possible (McCullough, 1971:7) Table 10 shows weightings used in the Interim Capital Formula.

Use of the Interim Capital Formula was said to contain the following advantages:

1. Cumulative entitlements could be determined for any and all universities in the system for any one year up to five. To allocate funds, the cumulative entitlement was determined. From this was subtracted formula funds already spent, and formula funds which were "committed." To the remainder was added an amount for "non-formula" needs, and the total amount required for committed projects, both formula and non-formula.

2. Should the total capital budget in any one year exceed the amount Treasury was prepared to release, the formula could be pro-rated by computer to suit the amount Treasury authorized.

3. The formula was described (McCullough, 1971) as "an almost perfect planning tool," since it could be tabulated as a cumulative cash flow entitlement over a number of years. This enabled an institution to time and size its projects to suit that cash flow.

4. Procedures for the approval of capital projects were

"absolutely routinized (McCullough,1971)." Universities submitted requests for approval of capital projects on standard forms, and the process involved a number of stages leading from original proposal to final approval by the Minister on the recommendation of the Department of University Affairs. During the approval process, the principal objective of the Architectural Branch of the Department was to ensure that the project was within the university entitlement, and that it complied with standards set for unit cost and space use.

Table 10

Interim Capital Formula

Category	Weighting	Total net ^a area per student
1. Undergraduate arts, general science, etc.	1.0	96 sq. ft.
2. Honours science, undergraduate professional courses. Master's course in non-laboratory subjects.	1.5	144
3. Master's level in laboratory subjects.	3.0	288
4. Ph.D. in non- laboratory subjects	2.0	192
5. Ph.D. in laboratory subjects	4.0	384

^a Assignable area is the net plan area, excluding corridors and circulation space, mechanical service area, walls, janitors' closets and so forth.

Net areas per student were established after surveys of other jurisdictions.

Program Development

As early as 1966, William G. Davis, the Minister of Education and of University Affairs, made government's intentions towards the universities quite clear:

There is, moreover, much evidence to indicate that provided the universities can meet the responsibilities of our time, we shall undoubtedly be better off if they were allowed to continue to operate with . . . autonomy.

. . . on the other hand, if they cannot accept those responsibilities, and, if, for example, large numbers of able students must be turned away because the university is not prepared to accept them, or if, as another example, some of the less glamorous disciplines are ignored, despite pressing demands for graduates in those areas, or if costly duplication of effort is evident, I cannot imagine that our society, especially one bearing large expense for higher education, will want to stand idly by. There will inevitably be a demand--there have been indications of this in other jurisdictions--that government move in and take over (Davis, 1966:34).

The Committee on University Affairs, adhering to a policy of non-intrusion into institutional autonomy, at first never interfered in program development. But as time went on it became apparent to the Committee that the Minister's warning was not being heeded. Wright (1972) recalled:

Alex Corry, when he was chairman of the Committee of Presidents, got all the Department heads in all the Ontario universities together one Saturday in 1968, read them the riot act on planning and complementarity and said if they didn't get together and deal with this it would certainly be done otherwise. There was a tremendous fuss, and they all went off and started working. But virtually nothing happened until early 1971, absolutely nothing, except that we had many new master's and doctorate programs introduced.

Macdonald (1971) agreed that the universities were reluctant to plan:

Government is impatient for planning to be done. The Prime Minister has indicated that he prefers to see the universities do it but if they don't the only alternative is that government will take the decisions. The system grinds slow, and the result has

been that in a number of instances the Committee on University Affairs or the government has reached the point of impatience where they've attempted unilateral action, trying to introduce their own decisions without any real consultation. Well that accelerates the system; but it has also provided convincing evidence that the Prime Minister's statement was no empty threat. We either do it ourselves or it will be done for us. I don't think anybody wants planning . . . but that's not the reality and everybody knows it's not the reality now, and so accepting the inevitable that they must plan they also accept that it's better to do it themselves than to have it done for them.

Graduate Program Appraisal. Impetus for graduate program development began with the Spinks Commission Report of 1966, which recommended among other things a cooperative approach to graduate study in the province

to ensure cooperation and coordination between the universities in the field of graduate studies and research, with a view both to develop excellence and to economize resources

. . . to develop a number of centres of excellence in the universities of Ontario which might achieve an international respect and renown (Towards 2000, 1971:96).

The Committee of Presidents responded to mounting pressure for rational graduate development by creating the Ontario Council on Graduate Studies (OCGS), which consisted of all the Deans of Graduate Studies in the province. One of the first actions of the Council of Graduate Studies was to establish a Provincial Appraisals Committee, to consist of six members of OCGS, and to deal with the following:

1. (a) to evaluate and appraise graduate programs in any discipline at the request of the university, or of the Ontario Council on Graduate Studies with the consent of the university;
- (b) to report on its appraisals.
2. After the approved procedure has been followed the Committee will recommend to the Council on Graduate Studies the granting, the refusal, the retention or the suspension of approval with reasons for its decision. The Committee may also recommend granting approval for a program to be

commenced at a specified future date, the postponement to be not more than two full academic years (First Three Years of Appraisal, 1970:12).

The Appraisals Committee was to consider all factors to establish whether a certain program was academically sound, and only those factors. The scheme rested on the willingness of the universities to cooperate, for submission of programs for appraisal was, and had to be, voluntary. There was no planning function implied; the Committee was expressly forbidden from concerning itself with questions of need for any specific program, and was not to make judgements as to the relative quality of programs in different universities. It was asked only to determine if programs to be appraised would provide students with educational opportunities "fully consistent with the acceptable standards inside and outside Canada (First Three Years of Appraisal, 1970:2)."

Appraisals were conducted by a panel of consultants, outstanding men in their field, who were selected from a list of nominations. For the first 50 cases of appraisal in Ontario, there were 21 consultants from Ontario, 26 from other parts of Canada, 70 from the United States, and six from Great Britain (First Three Years of Appraisal, 1970:4).

In the first two and one-half years of operation, 52 decisions on appraisal were received by the Committee. Forty-one programs were approved to commence without delay, six were approved with a one or two-year delay, and five were refused approval.

The Appraisals Scheme was greatly strengthened when, in 1969, the Committee on University Affairs announced that financial support under the operating formula would be paid to universities only in respect of those programs which had been favorably appraised. This action had the effect of establishing appraisal as an integral part of program

development in Ontario.

Appraisal appears to have worked very well. Not only had it operated to ensure the maintenance of high-quality programs, but it demonstrated that cooperative action in program development could be achieved. But appraisal by itself could not substitute for a system of graduate program rationalization; a further mechanism was required.

Academic planning. Dr. Corry's address to Department Heads, in 1968, resulted in the formation of a large number of discipline groups, each charged with the task of coming up with recommendations for the development of its own discipline. Some groups set about their task with enthusiasm; others refused to take the challenge seriously. OCGS established its Advisory Committee on Academic Planning (ACAP) to supervise and monitor the work of the various groups. But in the meantime, graduate programs continued to proliferate, so much so that in December 1970 the Committee on University Affairs announced its intention of taking unilateral action in four ways: (1) to place an embargo on graduate program development until a plan for graduate program rationalization had been drawn up, (2) to recommend a marked reduction in the size of the Ontario Graduate Fellowship Scheme, (3) to place limitations on the earnings of new graduate students, and (4) to recommend a substantial increase in formula fees for graduate students.

The Council of Ontario Universities responded to this announcement in two ways: (1) ACAP was given a full-time Executive Vice-Chairman, (2) ACAP's work was suddenly given a sense of urgency. Discipline assessments had to be made, and plans had to be drawn up for the rational development of graduate programs in each of the disciplines. The Council of Ontario Universities objected to the use of

such a blunt instrument as a universal embargo. What was really needed were

. . . sharp machine tools, specific to the delicate job at hand. For the growth of some disciplines needs encouragement, and the growth of others needs curbing . . . (Participatory Planning, 1971:25).

The Council of Ontario Universities was claiming for ACAP an allocative planning function, a function which required intensive examination and unhurried deliberation. The Committee on University Affairs subsequently agreed to relax the general embargo except on about twelve disciplines where the need for rationalized planning appeared to be most urgent, and committed ACAP to making thorough discipline assessments in those areas over the ensuing two years. During 1971-72 assessments were begun in sociology, economics, library science, chemistry, earth science, social geography, and education. Priorities on the assessment list were determined by two main factors: (1) either several universities were eager to begin graduate work in a particular discipline, or (2) there was an alleged imbalance between the graduates of certain programs and the demand for their services.

Discipline assessments. ACAP intended to engage teams of consultants to undertake discipline assessments. These consultants were to be provided with terms of reference drawn up by ACAP in consultation with the particular discipline groups. The following directions were extracted from the terms of reference provided for consultants in geography:

1. Obtain data and views from any relevant source. Visit campuses

2. Report on the adequacy of the present state of graduate work in **geography** in the province in general and in each university where applicable

3. Make recommendations for the development of graduate work in geography in Ontario between 1973 and 1983, but in more detail for 1973-78, dealing with:

- (a) desirable programs to be offered,
- (b) desirable provincial enrolments, considering the need for highly trained manpower and general cultural and societal factors,
- (c) distribution amongst the universities of responsibilities for programs and specialties . . . ,
- (d) distribution of enrolment amongst the universities showing desirable ranges of enrolment.

Some indication of the discipline assessment procedure and its possible outcomes may be obtained from an examination of a prototype in the form of a study commissioned by the Council of Ontario Universities and its affiliate, the Committee of Ontario Deans of Engineering (CODE), in 1969. This study was to cover both the undergraduate and graduate fields of engineering education in the province with the objective of creating a master plan which might be used to guide the rational growth of engineering education during the seventies (Ring of Iron, 1970:iii).

Such a plan

should endeavor to provide for the highest attainable quality, the best use of resources, an opportunity for innovation, and maximum freedom of choice for students (Ring of Iron, 1970:iii).

The study was placed under the direction of Dr. Philip Lapp, an engineer from industry. The Report, Ring of Iron, was completed in November of 1970, and placed before the Council of Ontario Universities.

Ring of Iron. The Lapp Report contained recommendations affecting both graduate and undergraduate engineering education. Many recommendations were explicitly or implicitly accepted by the Council of Ontario Universities and by CODE and by other provincial bodies which commented on the Report. But on some recommendations there was

controversy. Ring of Iron envisaged an integrated system of engineering education in which each school would play a distinctive role to provide in the province a variety of programs and approaches. To achieve this objective, the Report recommended a re-orientation of emphases in the existing system, concentrating certain roles in particular universities, drastic reductions in the number of graduate and undergraduate students, the termination of certain Ph.D. programs in some universities, and the total elimination, in one case, of a whole engineering faculty.

The Council of Ontario Universities and CODE reacted to these recommendations by suggesting that the Report had not been the kind of study on which most of these recommendations could be based. On the matter of numbers of engineering students there was little argument; CODE agreed that graduate enrolment should be cut from 690 to 450 by 1973-74. But on the other recommendations both CODE and the Council of Ontario Universities took the view that the Study had been too broad in scope to permit recommendations on fine details such as the distribution of program responsibilities (Preston, 1972), and suggested that until ACAP had conducted a further and more detailed study the engineering student reductions should be handled on a pro-rata basis rather than in accordance with the Ring of Iron recommendations. The chairman of the Committee on University Affairs pointed to the Council's failure to act on the Lapp Report as evidence of the ineffectiveness of voluntary associations to perform a coordinating function:

The Lapp Report is a very good piece of work in many ways, but the universities too often ducked when they took a position on the recommendations. With some issues they saw the handwriting on the wall--that it would have to happen anyhow, as in the reduction in prospective graduate student numbers. But when it came to details such as who should take the cuts, they refused to take a position (Wright, 1972).

At the time of the researcher's visit to Ontario, ACAP had not released any of its discipline assessments. When these assessments do appear, they may include recommendations which, like those of the Lapp Report, call for the re-distribution of program responsibilities among the various provincial institutions. If voluntary coordination can be achieved, proof of this may be seen in the Ontario university system when the Council of Ontario Universities is eventually faced with the need for taking a stand on recommendations which which would give it an allocative planning function.

OUTCOMES OF PLANNING

The Committee on University Affairs exercised a powerful influence on the development of the Ontario university system during the period 1967-1972. Although its powers by statute were limited to providing advice to government, it had the confidence of the provincial government to such an extent that its recommendations were rarely questioned.

The greatest successes of the Committee on University Affairs, according to university presidents, were in the area of finance, in developing concepts of formula financing for operating and capital support. In the program area, the Committee did not take a strong initiative until 1971, preferring instead to allow the universities opportunity to attack this problem themselves.

Formula financing was introduced to ensure the equitable distribution of government grants among the institutions. Although it cannot be used to generate decisions about appropriate levels of support, the operating formula has been employed by government as a

regulatory device, especially in the area of graduate studies. In the beginning of formula financing, in 1966, graduate weightings were sufficiently generous to attract large numbers of students into graduate programs. By the early seventies, however, it appeared as if graduate student output was beginning to exceed demand for their services, so the Minister of University Affairs, on the advice of the Committee on University Affairs, placed limits on the kinds of programs in which students could be counted for formula purposes. This limit was applied to slow the growth of graduate enrolments. It is not inconceivable that similar methods could be used to limit the overall numbers of students in categories other than graduate programs.

The Committee on University Affairs did not play a direct role in program development. Its threat to the Council of Ontario Universities of government intervention stimulated activity by the Council and its Advisory Committee on Academic Planning, and the outcomes of the program discipline assessments will demonstrate whether or not the voluntary association of universities is capable of program rationalization. It was generally recognized that without constant pressure from the Committee on University Affairs, the universities of Ontario would likely not have ventured into such cooperative enterprises at all.

SUMMARY AND ANALYSIS

The approach to planning and coordination which was developed by the Committee on University Affairs, evolved under the influence of several factors:

1. Government's confidence in the Committee on University Affairs was such that the Committee was left very much to its own devices

in undertaking activities related to development of the Ontario university system.

2. Wright's strong leadership, his close association with the Deputy Minister of University Affairs and his high standing with the Minister conveyed to many the impression that the Committee was to some extent dominated by its chairman.

3. The development of a strong Council of Ontario Universities tended to bring the two bodies--the Council and the Committee on University Affairs--into a confrontation relationship in which on the political level the Committee was seen to represent the interests of the public and the Council the interests of the universities. Below the political level, useful cooperative relationships were established through the joint subcommittee structure.

4. The Committee's planning and coordination activities appeared to have been most evident in the following areas:

a. The Committee planned for system development by bringing into use formulae for the equitable distribution of operating and capital grants.

b. It caused planning to occur in the university system by forcing the universities into cooperative enterprises on threat of government intervention.

c. It planned by imposing sanctions upon program development to force the universities into producing schemes for the rationalization of graduate program development in the province.

d. It planned by encouraging and facilitating cooperation among the Committee, the Department of University Affairs and the Council of Ontario Universities through the joint subcommittee structure.

e. The Committee's planning activities on occasion included unilateral action in respect of preventing certain institutions from proceeding with intended or hoped-for developments, and this exercise of power was to some extent resented.

The Committee's approach to planning and coordination, seen in terms of the conceptual framework, appears to have been a compromise of various policy positions. The Committee apparently possessed a strong de facto power which it exercised infrequently but sometimes with considerable effect. Having a strong influence upon system policy-making, the Committee's potential for developmental planning was quite great, although the implementation of courses of action intended to put its policies into effect involved some problems, not the least of which stemmed from seemingly incompatible policies of efficiency in university operation and institutional autonomy. The Committee avoided grappling with the program allocation problem by turning over to the Council of Ontario Universities responsibility for developing schemes for program rationalization. If the Council's efforts in this field prove to be ineffective, then the Committee on University Affairs or some other statutory body may be forced into accepting the challenge.

Formula financing proved to be a relatively effective instrument for implementing government policy, particularly with respect to the equitable allocation of whatever financial resources the government was prepared annually to commit to university education. As a technique for promoting system development it had limitations, for once established it was difficult to justify any changes in the weighting schedule. The Committee's 1969-70 Annual Report stated:

Since the formula was introduced in 1967, the Committee on University Affairs has heard arguments in favour of increasing,

relatively, weighting numbers in virtually every enrolment category. It has been suggested that this experience probably confirms the reasonableness of the original scale of weights. Undoubtedly more money could be well spent on any area of activity. But until some quite compelling evidence becomes available, the Committee on University Affairs is hesitant about tinkering with the weights established under the formula policy for individual programs (Report of the Committee on University Affairs, 1969-70:25).

Viewed in this light, formula financing has limitations as a planning technique because its effect, as demonstrated in the Ontario university system, was to maintain the status quo.

Where Committee actions were resented, part of the problem at least probably stemmed from the absence of an accepted rationale on which decisions about program development or capital development could be based, or of a mechanism whereby the interests of individual institutions were seen to be protected. Under existing circumstances, it was clear that some university presidents tended to feel that their interests were not adequately protected in the making and implementing of system policy.

Chapter 5

THE ALBERTA UNIVERSITY SYSTEM

The Alberta University system was inaugurated in April, 1966, when by Act of Legislature the Calgary campus of the University of Alberta separated from its parent in Edmonton to become the province's second fully-fledged university. Coordination of the new system was to be the responsibility of a Universities Commission and a supporting body named the Universities Coordinating Council.

The decision to grant autonomy to the Calgary campus was a consequence of its increasing size and diversity and of rising sentiment in the City of Calgary, among both the university and the non-university community, that it should be given independent status. By 1966-67 there were 4,108 full-time students at Calgary, with undergraduate faculties in agriculture, arts, science, fine arts, business administration and commerce, education, engineering, household economics, nursing, and physical education. Graduate schools in arts, science, education and engineering had been established, with a total graduate enrolment of 349. Demands for autonomy had been heard from various organizations and individuals in the City of Calgary, and while civic pride was undoubtedly a strong motive among non-university groups, sentiment in academic circles was related also to difficulties, or alleged difficulties, arising from major matters having to be referred to Edmonton for decision. Some statutory steps had already been taken to give Calgary a kind of semi-autonomy. The chief administrative officer had been designated President, and the Calgary campus had been

granted certain freedoms in respect of curriculum and degree granting. By 1965 the University of Alberta Board of Governors, spurred to decision no doubt by its Calgary membership, recommended to the provincial government that the Calgary campus be granted autonomy. The Universities Act of 1966 put that recommendation into effect.

The University of Lethbridge was established by Order-in-Council in January, 1967, and commenced operation in September of the same year in the academic, or university transfer, section of Lethbridge Junior College. Strong and repeated representations had been made by civic and academic groups in Lethbridge for a university to be established in that city, and the provincial government's decision to accede to their demands was probably influenced by the dynamic of growth that was characteristic of post-secondary education during the 1960's. Lethbridge moved into its new buildings in 1971 with 1,409 undergraduate students, 905 in the Faculty of Arts and Science and 504 in the Faculty of Education.

In January of 1970 a government White Paper announced that maximum enrolment at the University of Alberta had been set at 25,000 and that in view of a predicted enrolment within three years in excess of that figure, the construction of a fourth university was necessary. The government decided that the new university should be located in the Edmonton metropolitan region, and that it should limit its undergraduate faculties to arts, science and education. At the graduate level the humanities and social sciences would be stressed. Late in 1970 a president was appointed and work was begun at the selected site. However, following a change of government in August of 1971, and indications of a declining trend in demand for university education, the decision was made

to delay construction pending further study of provincial need for additional university services.

COORDINATION OF THE UNIVERSITY SYSTEM

Autonomy for the Calgary campus meant that there would be two institutions in competition for government support. Whereas before 1966 the provincial government had dealt with a single board of governors in determining levels of operating and capital support for the University of Alberta, it was clear that the creation of a university system would involve government in at least two new problems:

1. There would be an increase in the amount of time the government would have to spend in meeting with the various university groups as each university submitted its individual requests for support.

2. There would be a danger of government's being accused of favoritism if its grants or allocations to one university were more generous, or could be alleged to be more generous, than to the other. Since each university could be expected to believe that its needs were paramount, there would seem to be no way of satisfying both.

The creation of the Universities Commission was intended to forestall these problems for government by transferring some decision-making responsibility from the government and by relieving the burden of work on the executive council. It was realized that the immediate problems arising from the creation of a two-university system would require far more time and study than could be given by government, and once the idea of autonomous universities was accepted, there was general agreement that some kind of coordinating body was needed. That this coordinating body should take the form of a commission was an idea that

apparently won widespread support quite early in the discussions, although over the composition of its membership there was considerable debate (Swift, 1971).

Prime responsibility for drawing up legislation for the Universities Act rested with the then Deputy Minister of Education, Dr. W. H. Swift who, through a series of meetings arranged with various provincial groups, was able to obtain a wide spectrum of opinion on the structure of the new commission. There were claims that university presidents should be ex officio members, that faculty and students should have representation. The final decision reached by cabinet was that there should be no direct university representation, a decision no doubt based on a desire to create as independent a body as possible. It was assumed, apparently, that the universities and their components would have adequate opportunity to make representations to the Commission without actually having membership. The creation of a Universities Coordinating Council, composed entirely of university membership, was possibly intended to provide this kind of academic input into the Commission. The inclusion of the Deputy Ministers of Education and the Treasury was a transfer from their similar status on the unitary Board of Governors of the University of Alberta.

THE ALBERTA UNIVERSITIES COMMISSION :

STYLE OF OPERATION

The Commission's "style of operating" is described by reference to its composition, its purposes, and its functional relationships with the universities of the province and with the provincial government.

Composition

The first appointment to the Board of the Universities Commission was that of the Chairman, Dr. W. H. Swift, formerly Deputy Minister of Education. Swift and the then Minister of Education nominated other members to the Commission, and the final decision, reached in Cabinet, was apparently made with consideration for geographic distribution, diversity of interests, and knowledge of university affairs (Swift, 1971).

Since 1966, up to the time of the present study, there had been five different Commission Chairmen:

1966-68	Dr. W. H. Swift
1968-70	Dr. Andrew Stewart
1970-71	Dr. L. A. Thorssen
1971	Mr. Leif Erickson
1971-72	Mr. H. G. Thomson

In contrast to the Committee on University Affairs in Ontario, the Universities Commission included no direct university representation. Whereas in Ontario the academic members tended to take the lead in dealing with the universities, in Alberta that function was performed by members of the Commission staff, with Board members playing a relatively passive role by reacting to initiatives from the universities. One Alberta university president spoke of ". . . those poor Commissioners, who have to sit there inundated with figures but with no possibility of real comprehension" Kristjanson (1971) described the role of Commission Board members thus:

In discussion there will be partial suggestions that may lead to a project, but as far as coming forward with a suggestion or something like an insistence that something must really be looked at, the answer is--no. By and large, the vast majority have thought of themselves as wise men who sit and make judgements, raising questions, always reacting, suggesting that maybe the staff officers might like to look at this or that in more detail.

The three Commission staff members attended all meetings of the

Commission but did not possess voting privileges. Their role in meetings was to present recommendations on various issues which happened to fall within their respective jurisdictions, and to reply to questions put them by members of the Board. Matters brought before the Commission originated for the most part in the universities, although staff were free to present ideas and recommendations of their own. The role of the staff and their relationship with Board members was explained by

Kristjanson (1971):

The staff has a great deal of influence. It's the power of knowledge. On so many issues it's only the staff that have really done the detailed study. By and large the Board will buy what we are doing, particularly if the Chairman and the staff members are agreed. It would be very rare that the Board would disagree. Some might ask questions, and there would be a modification in approach. I don't imply that they are "yes" men, but they are in the unfortunate position of just not knowing as much about things at issue. It's a very awkward position to be in.

Purposes

The Commission's terms of reference, as contained in the 1966 Universities Act, dealt almost exclusively with finance. On the matter of jurisdiction over program development, the Act was circumspect. The Commission was to recommend to government an annual operating budget, and was to have full discretion over the allocation of the approved grant among the universities. With respect to capital development, the Commission was to apportion among the universities the moneys granted by government, and was to carry to the Capital Development Committee recommendations on new capital projects as proposed by the individual universities. As Kristjanson (1971) explained:

My guess is that the original purpose, in spite of the wording of the Act, was simply an agency to distribute money equitably between the two universities that were then established. I don't think the framers of the legislation were particularly interested

in control of programs. In a broad sense I think it was hoped that this agency would prevent unnecessary and undesirable duplication of effort in the sense of programming, and that it would be an agency by which the provincial funding could be equitably allocated.

The Commission's power to control program development was curtailed in several ways. In the first place, the Commission was given no jurisdiction over programs which were unique to the province, irrespective of its judgements of their worth. Secondly, where new programs appeared to duplicate existing programs, the Commission was obliged to consider whether such duplication constituted "undesirable or unnecessary" duplication, a very difficult undertaking in view of the small staff available for research activities. Third, the term "program" was never given clear definition, and this caused misunderstanding in certain instances. The Act by inference warned the Commission against intruding into the affairs of the universities. Wyman (1972) explained:

It was not supposed to meddle in the academic programs of the universities but to see that there was a minimum of needless duplication. Its purpose was mainly financial and equity. It was not supposed to act as an arm of government nor was it supposed to be a spokesman for the universities. It was to be an intermediary body that would assess the needs of the universities as it saw them and make recommendations to government.

Government policies with respect to university education, and to the role of the Commission, have never been made particularly clear.

Kristjanson (1971) believed that the Commission had no explicit policies:

I have the feeling that we have no explicit policies, although there are implicit policies based on the way we have always done things for example if funding is such that we can provide only 80% of the facilities based on some ideal space formula, we should keep it fairly constant for all. Similarly I suppose it's a policy tied to the formula for operating costs that in fact we should provide the funding that keeps each of the universities at about the same level of provision of services to the student. There was a time that the Commission had to approve salary schedules, and the implicit policy was that they should be uniform. It has to approve tuition fees, and as policy what they are saying is that no student should be at a disadvantage because he happens to be going

to the University of Lethbridge rather than to the University of Alberta, so tuition fees for similar programs should be the same.

Relations with the Universities.

Commission activities for the most part were in response to university initiatives. Universities submitted proposals for new programs or capital projects to the Commission staff who scrutinized them and passed them on, with recommendations, to the Commission Board. As Wyman explained (1972):

They always react to a proposal from one or more of the universities, and at no time have I ever seen them take leadership. They always react to the proposal, and never do they come to the universities with a proposal for leadership.

Carrothers (1972) believed that the Commission's reactive role was due in part to its lack of academic input:

The Commission reacts because after all the ideas are generated by the academics and the academics are in the universities if a university wants a new academic unit it must do the initiating and the Commission then reacts.

One of the most clear indications of Commission policy towards the universities was the Commission's desire to protect institutional autonomy. Not only did the Universities Act by implication discourage any notions of planning by attempting to influence internal university administrative or academic development, but the Commission itself was anxious to avoid the appearance of an authority relationship. Kristjanson (1971) explained the situation as follows:

This was done in a society for whom in effect planning was a dirty word. It was done in a context where the assumption was that you decentralize. Explicit wording about planning was probably antithetical to the ethos of the time in which the Act was written. Of course there has been an incredible amount of talk about planning ever since.

The Commission really protected its staff from presuming to tell the universities at any time that they had no rights to this, that or the other. We were all conscious of how fatal it is to university-

agency relationships if any hint of the arrogance of a headquarters staff ever crept into our relationships.

Contacts between the Commission and the Universities Coordinating Council were infrequent, and concerned for the most part with Coordinating Council requests for annual operating budgets, which were provided from Commission funds.

During Thorssen's chairmanship, and since, a large number of subcommittees was formed. These committees were intended to work in special areas to provide the Commission with data and information to assist its decision-making. Membership of the committees typically included Commission staff and university representatives. Examples of the committees are: the Space Use Committee, the Steering Committee on Library Rationalization, the Steering Committee on Computer Development, the Steering Committee on Capital Development, and the Academic Master Plan Steering Committee.

Relations with Government

The Alberta Universities Commission, unlike the Ontario Committee on University Affairs, seemed to be excluded from some important areas of government decision-making in matters affecting the universities. In the first place, the Commission was seen by many to have little influence on government in the matter of grants to the universities. A strong impression gained from the interviews was that most people believed that the Commission did not exercise a positive role, but relied upon government to make annual announcements about the operating grant as a preliminary to the Commission's principal function of distributing that grant equitably among the universities. The Commission was not seen as a buffer between the universities and the government. One president

explained the relationship as he saw it:

When I got into a debate with Clarke [former Minister of Education] about the grant to the universities, the Commission faded into the background, and the argument became simply between Clarke and myself. I really expected that this is where the Commission would come forward and show leadership. They might have said to the public that I was wrong, or Clarke was wrong, or that we were both partially right or wrong, but they said nothing.

Another university president believed that the Commission's image was very different from its function:

The image is one of being an intermediary between the universities and the government, and as I perceive its role hypothetically it is to assess the legitimate interests and needs of the universities and to carry those to the government and to act as advocate of those needs. If I apprehend it in fact they make this assessment and then they have been putting a political component into their judgement and weakening the assessment thereby, making a submission to government and the government makes a further political decision so we get hit by two political judgements, and there is no way we can hold the Commission accountable for exercising political judgement If the Commission persists in imposing this political component on their judgement then we may as well do away with the Commission and put the Commission staff into the Department of Advanced Education, and then we know that we are dealing with staff and politicians rather than with staff and civil servants.

Other illustrations of the Commission's exclusion from decision-making concern the role of the Capital Development Committee, the tendency of government in the past to take unilateral decisions about the establishment of new institutions and new faculties, and one occasion where a direct approach to government by a single university resulted in government's overruling a Commission recommendation.

The University Capital Development Committee, by statute, existed to review the needs of the universities with respect to capital development, and to "report its findings and recommendations thereto to the Universities Commission (Universities Act, 66, (5) Government of Alberta, 1966:5655)." In fact, the Capital Development Committee operated

more to contain university spending in the capital area in accordance with government decisions about the amount of money that could be spared at any particular time. Kristjanson (1971) explained:

If we tell them we need twenty-eight million for the first set of buildings for a medical department, they may draw the line and say the government sees it can spend only twenty-three million

In the final analysis they speak for the kind of support in the areas that the government is likely to give, so it's pretty strong advice, and yet by the Act they can only approve a project and recommend to the Universities Commission. The real truth is I suspect that they tell the Commission that this is something they should proceed with because the government will not object

The Commission apparently did not play an influential role in matters concerning the establishment of new institutions. Commenting on the absence of Commission involvement in this area, one university president observed:

If you look at the Athabasca situation the Universities Commission wasn't involved, wasn't even asked for its opinion, so you can't say it was an effective force in the development of the Alberta university system with respect to the addition of the fourth university.

The third illustration concerns government's decision to overrule a Commission recommendation for a twenty million dollar capital budget for Calgary's medical school. Kristjanson (1971) explained:

. . . the Commission after a great deal of reading and discussion finally approved a capital budget for twenty million dollars. This was the amount of capital that should be expended to bring the school up to size, and the Chairman of the Board of Governors went over the heads of the Commission direct to government and the government actually made increases to this amount . . . the first time it has happened. This is one of the few times that in fact the Commission was strongly hurt by government, and so the Commission had to go through a kind of device of approving the greater amount

The Alberta Universities Commission, in the context of university coordination, emerges as a body constrained by government to operating within a relatively narrow field, discouraged from taking an active part

in several important areas of planning and coordination, and apparently unwilling to exercise more than a reactive role in its dealings with the universities.

PRINCIPAL AREAS OF PLANNING AND COORDINATION

Swift (1971) recalled that the immediate, pressing problems facing the Commission in its first year were: (1) to seek out some rational formula which could be used for the distribution of available government funds, some basis that was as objective as possible and which could be defended as equitable, (2) to establish principles for the approval of capital projects, (3) to settle the distribution of assets and liabilities between the two universities of Alberta and Calgary arising from their previous unitary state, and (4) to begin to think in terms of a university system, and as to how development might take place reasonably on each campus but without unwarranted expense through unnecessary duplication. Work was begun immediately upon all four problems, although the first three, having urgent budgetary and administrative consequences, were given expeditious treatment. The principal areas of planning and coordination to be considered in this chapter include operating support, capital development, and program development.

Operating Support

The extent of operating support for the universities, collectively, was determined by the provisions of the University and College Assistance Act. Specifically, this Act provided that the amount available in any fiscal year would be the product of full-time students enrolled in the universities as of December 1, and the sum per student stipulated in the

schedule of the Act. The Commission's responsibility each year was to recommend to government a level of support based on the sum per student, and this was then voted on in the legislature. On the manner in which the operating grant was to be distributed, the Commission had full discretion.

In the first year of the Commission, the Finance Officer, McDonald, was under some pressure from government to make an early recommendation with respect to operating requirements. In view of this time constraint, only two strategies appeared feasible. One was to look at what other jurisdictions were spending on post-secondary education, and the other was to base the estimate on what had been established in the previous year as a reasonable figure. The latter strategy was chosen; to the basic income unit of the previous year McDonald applied an inflation factor which when incorporated in the formula (number of full-time students multiplied by an estimated cost per student, or the basic income unit) generated a substantially higher operating budget than that of the previous year. This was recommended to government and subsequently approved by the legislature. McDonald's successor, Ford, has employed much the same method ever since, simply deciding upon a reasonable inflation factor and applying it each year to the formula (Ford, 1971).

In arriving at a procedure for the distribution of the operating grant among the universities, the Commission rejected a distribution based on sums per student undifferentiated as to faculty or year or course, and adopted a modified form of the Ontario formula, which has already been described in a previous chapter. Alberta's operating formula, shown in greater detail in Table 11, differed from that of Ontario in several ways:

Table 11

Alberta Universities Operating Support Weightings

Category	Weight Assigned
1. General Arts; first year Honors Arts; General Science; first two years Agriculture; first two years Household Economics; first two years Nursing	1.0
2. Upper years Honors Arts; Fine Arts; first two years Education; Commerce; Physical Education; Law; Rehabilitation Medicine; Dental Hygiene; Medical Laboratory Science; first two years Engineering	1.5
3. Upper years Honors Science; Upper years Education; Music; Upper years Nursing; Upper years Household Economics; Pharmacy	2.0
4. Dentistry; Medicine; Upper years Engineering	3.0
5. Upper years Agriculture	4.0
6. Masters in Business Administration, Social Work and Library Science	2.0
7. First year graduate students in Arts, Education, Law	3.0
8. First year graduate students in Science, Dentistry, Engineering Household Economics, Medicine, Pharmacy, Physical Education	4.0
9. First year graduate students in Agriculture	5.0
10. Upper year graduate students--except Agriculture	6.0
11. Upper year graduate students in Agriculture	8.0

1. Tuition fees charged by the universities were not taken into account, whereas in Ontario the total tuition income for any particular university was subtracted from the amount generated by the application of the formula to arrive at the university's final grant.

2. In Ontario, no weightings had been determined for education students as teacher education at that time was controlled and financed by the Department of Education. The Universities Commission in Alberta decided on a weighting of one and one-half for education students in their first and second years, and a weighting of two for subsequent years.

3. As the Faculty of Agriculture at the University of Alberta provided a research capability for the Department of Agriculture, the Commission established a substantially higher weighting for agriculture than was the case in Ontario.

4. Alberta's weightings for part-time and summer session students were slightly higher than those adopted on the Ontario formula.

It is of interest to note that in departing from the Ontario weightings, and in establishing weightings for the education students in Alberta, the Commission's Finance Officer adopted what he called an "eyeballing" procedure. Under the pressure of a time constraint, and in the absence of literature bearing on the matter of program costs, a rudimentary cost study was made which led to the determination of the final weightings. In the case of the education weightings, the end result was in favor of the University of Calgary over the University of Alberta, as the Faculty of Education in Calgary was proportionately larger than its counterpart at the University of Alberta.

In the first year of the Commission, it was realized that there

were some expenditures which required special treatment in that they could not be related to student enrolment. To these was given the name "first call" grants. They included:

1. the costs of basic administrative establishments,
2. certain activities such as the Departments of Extension,

which bore no relation to student enrolment,

3. new programs in process of establishment which had no students to earn money from the pool, or which had few students, but which nevertheless required substantial operating support.

Recognizing that some arbitrary decisions had to be made as to eligibility and to amounts of money involved, the Commission adopted a policy of examining each proposal independently to establish the level of its support. Proposals were submitted to the Commission by the universities, were scrutinized by the Finance Officer, and in the normal way were then presented to the Commission with a recommendation from the Finance Officer. First Call Grants were then drawn from the total operating budget, and the remainder distributed among the universities according to the modified "Ontario" formula.

A further modification to the operating support formula was found to be necessary with the advent of the University of Lethbridge. In seeking a suitable means of financing the new university, the Commission turned again to the Ontario experience, where the concept of "emergence" had been developed for the special support of the new universities of Brock and Trent. In the first year, the Commission granted a sum of \$27,000 to the University of Lethbridge for establishment expenses and administrative costs. In the second year, 1967-1968, when the university had enrolled 638 full-time undergraduate students, the

operating grant amounted to \$1,692,000, or \$2,652 per full-time student. This represented a per full-time enrolment level of support which was 53% greater than that provided the other universities collectively, and reflected the application of a special emergence grant formula.

$$G_L = \frac{(U_L) (BM_L)}{(U_L) (BM_L) + U_C + U_A} (G)$$

G = total government grant (grant per full-time student multiplied by the actual number of full-time students in the university system as of December 1 in any year)

G_L = government grant to Lethbridge

U_L, U_C, U_A, = enrolment units generated at the three universities. For each university these were the sum of enrolment units generated by full-time and part-time students

BM_L = special bonus multiplier for Lethbridge

It was the original intention of the Commission that Lethbridge's bonus multiplier should be progressively reduced to the point at which its enrolment would be sufficient to maintain a level of support comparable to that received by the other universities. To that end, the Commission established the following reducing scale, with the anticipation that by 1973 the bonus multiplier would no longer be needed:

1967-68	1.50
1968-69	1.41
1969-70	1.30
1970-71	1.20
1971-72	1.10
1972-73	1.00

As enrolments did not grow as expected, the Commission revised the 1970-71 bonus multiplier to 1.25, proposing to retain special emergence assistance until enrolments at the university had reached an

acceptable level.

Capital Development

A Capital Planning Officer was appointed to the Commission in October, 1966. Shortly after he had assumed office, the Chairman of the Commission in a memorandum identified the following matters that in his view needed to be pursued (Swift, 1971):

1. The 1967-68 building program.
2. The needs of the universities over the next several years.
3. The establishment of guidelines, or bases for the determination of space needs.
4. The allocation of funds to the universities.
5. The procurement of comparative data.

At this stage, in April of 1967, the 1967-68 building program was under way, having been arrived at by taking approximately \$50 million and cutting the various Edmonton and Calgary building programs to fit this sum. This meant the completion of projects that had been scheduled, the continuation of various utilities and service projects, and the elimination of some lesser projects. It was the Chairman's intention that an assessment of the current building program should be made, and if it appeared that a surplus of funds had occurred, to seek reinstatement of one or two minor projects.

Before the Commission assumed full responsibility for capital development, the government had announced that it proposed to make available over the ensuing five years, for all capital purposes, gross, the sum of \$175,000,000 inclusive of the 1967-68 allotment. The Chairman, faced with the task of distributing this sum among the universities, saw the necessity for developing a concept of what the

universities, individually and collectively, would need during that period, and recognized that this task would require a team effort on behalf of the Commission staff, involving as it would considerations of academic planning, student enrolment statistics, distribution of faculties and the like. An important element in the proposed capital development plan was to arrive at a formula for space use which took into cognizance varying requirements for different kind of students and programs, and by means of which parity of government support for buildings among the campuses could be achieved. Swift suggested that the Commission, in consultation with the Department of Public Works, should attempt to develop such a formula and be prepared to "sell" it to the universities and especially to government. With respect to items which could not be assessed by formula, such as land purchase, landscaping, parking, and utility items, Swift recognized that there would be special problems.

Developing a formula for space use. The formula eventually used by the Commission was a modified "Donovan Smith" formula, which had been borrowed from the University of Alberta. Donovan Smith was a site and space consultant to the University of California, who had been employed by the University of Alberta to convert the university's academic plan into space needs. The academic plan, known as Academic Planning Report No. 8, included detailed data on departmental projections which revealed the need for quota restrictions on enrolments in several faculties and the establishment of additional facilities, or a separate institution, in the Edmonton area (Academic Planning Report, No. 8, University of Alberta, 1967).

Academic Planning Report No. 8 based its claims for additional facilities on the unit area allowance approach. This approach was

essentially the translation into physical terms of existing and estimated university enrolment, taking into consideration differences among faculties in terms of level of students, nature of the instruction, size of classes and number of classes per week. In Academic Planning Report No. 8, detailed work-loads of the various faculties were expressed in terms of Weekly Student Hours (WSH). A Weekly Student Hour was defined as the workload resulting from one student attending a course that met one hour per week all year. Smith produced a set of Net Unit-Area Allowances that converted the Weekly Student Hours of a department into the number of square feet required by the department. The allowances reflected the space required by the normal day-to-day activities of a university, such as space and service areas for classrooms, laboratories, research, and offices. In the plan, more classroom space was allowed for a senior student than for a junior student, and about two to three times as much for a graduate student as for a junior. With respect to laboratory and other support space the differentials were even greater. Allowances for supporting personnel and facilities amounted to about 25% in most faculties (Academic Planning Report No. 8, 1967:14).

Capital Apportionment, 1967-72. The Commission's first apportionment of the \$175,000,000 was based on the Donovan Smith formula for space use, taking into account the space inventory at the commencement of the period, student population at the beginning of the period and as projected to the end of the period, the actual and prospective student mix, and the space formula related to the mix. Commitments at the beginning of the period were considered, inclusive of allocations for furnishings and equipment, with the Commission staff authorized to review these and transfer some items from committed to non-committed as deemed

necessary. Ten per cent of the original budget was to be held in reserve pending some clearer information as to the needs and prospective approvals and expenditures applicable to the University of Lethbridge prior to March 31, 1972. Some portion of this was assumed to be available for later allocation to Alberta and Calgary.

The basis of the allocation for furnishings and equipment, a total sum of \$30,000,000, was the sum of the enrolment units 1967-68 to 1971-72 times \$60 plus the increase in enrolment units from 1966-67 to 1971-72 times \$700. This represented an allowance for equipping existing buildings related to the existing enrolment mix plus an allowance for equipping and furnishing buildings recently constructed on the basis of the increase in enrolment. The total represented 18.5% of the capital available, a proportion which appeared to be adequate according to reports obtained from the United States Department of Health, Education and Welfare (Letter from Swift to Johns, February 23, 1968).

When the total estimated commitments were subtracted from the budget of \$175,000,000, a sum of \$114,845,000 remained to be apportioned between the two universities. It was to be divided on the basis of the formula space need for 1972-73 less the inventory as of March 31, 1967, as follows:

University of Alberta

1972-73 Space Needs (net square feet)	3,360,000
March 1967 inventory	1,609,000
Need for new space	1,751,000

Apportionment:

$$\frac{1,751,000}{2,822,000} \times \$114,845,000 = \$98,059,000$$

University of Calgary

1972-73 Space Needs (net square feet)	1,651,000
--	-----------

March 1967 inventory	580,000
----------------------	---------

Need for new space	1,071,000
--------------------	-----------

Apportionment:

$$\frac{1,071,000}{2,822,000} \times \$114,845,000 = \$59,441,000$$

When the universities were acquainted with the Commission's intentions with respect to capital apportionment, the University of Calgary contested the proposed apportionment on the grounds that its developing Faculty of Medicine required a greater measure of support. Strong representation by the Calgary Board of Governors direct to government, by-passing the Commission, succeeded in having a further \$10,000,000 added to the five-year capital grant, and which was to be applied to faculties of medicine. The Commission's apportionment of this additional grant of \$10,000,000 was made in the following way:

The additional money was to be shared between the Universities of Alberta and Calgary on the condition that they commit twenty and fifteen million dollars, respectively, to new medical facilities from their original allotment. Within the 1972-73 space need of 3,360,000 square feet for the University of Alberta, 340,000 square feet were for medical buildings. The University of Calgary's space need for 1972-73, 1,071,000 square feet, included 75,000 square feet for medical buildings. Therefore, in the University of Alberta's apportionment there was an allowance of

$$\frac{340,000}{2,822,000} \times \$114,845,000 = \$13,800,000$$

The University of Calgary was to have $\frac{75,000}{2,822,000} \times \$114,845,000 = \$3,040,000$.

The University of Alberta was obliged to commit \$20 million, and as its apportionment was only \$13,800,000, it needed an additional \$6,200,000. The University of Calgary was obliged to commit \$15,000,000, and as its apportionment was \$3,040,000, its need was for \$11,960,000 in addition. Although the apparent need was for \$6,200,000 + \$11,960,000 = \$18,160,000, only \$10,000,000 was made available, hence the final apportionment of the additional sum was calculated thus:

University of Alberta

$$\frac{6.2}{18.16} \times \$10,000,000 = \$3,500,000$$

University of Calgary

$$\frac{11.96}{18.16} \times \$10,000,000 = \$6,500,000$$

Financing capital projects. Within the parameters of its pre-determined capital budget, each university was financed for capital projects by a process which involved the Commission and the Capital Development Committee. The first stage of the process began when a university, contemplating the creation of a new school or faculty which would require new physical facilities, or wishing to make extensions to the physical facilities of existing departments, schools or faculties, submitted to the Commission an academic program in which the need for additional space was related to its aspirations for academic development. Before approval of the first stage was granted, both the Academic Planning Officer and the Capital Planning Officer examined the proposal to ensure that it was consistent with their understanding of provincial needs, and consistent with the university's own plan for academic and capital development. At this stage, the proposal could be returned to the university for modification, and clarification on certain points could be

sought. Following approval of the first stage, the university would then submit a detailed proposal, in which the academic program was expressed in details of the physical space required, with sufficient information to enable a more accurate assessment of the financial commitment to be made and a clearer picture of the facility to be obtained. At this stage, the project would be subjected to close scrutiny, not only to ensure that the academic program did not constitute unnecessary and undesirable duplication of existing programs, but also to satisfy the Capital Planning Officer that the proposed new buildings or facilities were economic in terms of cost and usage of space, and that the space itself was appropriate to the use to which it would be put. Following Commission approval of the second stage, the proposal would pass to the Capital Development Committee, where approval would be given for the release of government funds to enable the project to commence.

In this process of financing capital projects, individual universities took the initiative and carried out all the early planning. Subsequent to the government's announcement of a \$175,000,000 capital package, each university at the request of the Commission had prepared a statement of its academic and capital aspirations over the ensuing five-year period. These statements, when placed together at the Commission, constituted the only provincial master plan for university development, and university requests for program and capital development were expected to be consistent with this plan. University proposals were always supported by data and the findings of institutional research as justification for the development. This supporting documentation typically took the form of projected student enrolment, present and projected demand for the program, manpower need for graduates of the

program, the amount of space needed, the type of space appropriate to the proposed program, and the design of the building intended to provide the space. At Commission level, the proposal first of all had to win approval on academic grounds through a process to be described in the following section. Where programs were approved in principle, it was then the task of the Capital Planning Officer to ensure that the proposed physical facilities were economically produced and effectively used. An example of the process is provided.

Case study of a capital development project. The University of Alberta submitted a proposal for extensions to its Faculty of Education buildings in 1970. The proposal was essentially a translation of the academic program into physical requirements, including statements related to the increasing responsibilities of the Faculty in terms of enrolment projections, numbers of graduates, numbers of faculty and graduate teaching assistants, types of research activity undertaken, and various other activities supported by the Faculty such as projects on retarded children and on computerizing education. At the Commission, the Academic Planning Officer and the Capital Planning Officer examined the proposal and approached the university for clarification on a number of points, questioning the university's assumptions with respect to the need for increasing numbers of teachers, proposed faculty-student ratios, and weekly student hours of teaching. In response to the Commission's questions, the university produced additional papers to support its stand on these issues, and the Commission staff themselves conducted a study on provincial supply and demand for teachers. The university's detailed proposal, which followed, reviewed the space at the university available to the Faculty of Education, indicating where space was to be abandoned

and what additional space would be required. The Capital Planning Officer, using the Donovan Smith formula as a guide, concluded after study that the university was asking for too much lecture space for its needs. The university defended its claim by asserting that the space, being non-specialized classroom space, was to be shared if necessary with other faculties at the university. Although the Capital Planning Officer was unconvinced that the space requested was really necessary, in view of his belief that the need for increasing numbers of teachers was unproven, the Commission approved the detailed proposal and sent it to the Capital Development Committee for ratification. Final approval by the Capital Development Committee was given only after re-examination of the proposal, during which the University's Vice-President in charge of capital development was asked to appear before the Committee to further substantiate the University's claim for additional space.

This brief outline illustrates the role of the universities, the Commission, and the Capital Development Committee in capital project approval. Initiative had to be taken by the individual universities in producing proposals and supporting them with research conducted by their own institutional research offices. The Commission's role was to exercise a moderating function, to ensure that proposed new programs would not constitute an "unnecessary or undesirable duplication," and to ensure that proposed physical facilities were suited to their purpose and of reasonable cost, having regard for the fixed capital sum advanced by government. The Capital Development Committee was empowered by statute only to receive proposals from the Commission and after study to report its findings and recommendations to the Commission. But it has apparently assumed a much more positive role than the statutes would seem to imply,

as in at least one case--the Faculty of Education building--this Committee in reviewing a Commission recommendation made a direct approach to the university in question for additional evidence to support the university's claim for increased physical facilities.

Where proposals from universities involved non-formula areas, projects for which the Donovan Smith formula could not be used as a guide for assessing space need, such as financing the cost of gymnasias, medical facilities, libraries, administrative areas, physical plant areas, the Capital Planning Officer developed broad "rules of thumb" based on historical precedent and the experience in other places. Each non-formula proposal was considered on its own merits, within the context of the universities' plans for capital development, and within the parameters of the government's fixed capital budget. Decisions made by the Commission in these areas were essentially subjective and therefore potential issues for dispute. Under such circumstances the Capital Planning Officer found himself in a bargaining position. Unable to justify his own stand on what he considered to be a reasonable cost for a particular non-formula capital project, he also found it difficult to reject the university's claims. The final decision, which the Capital Planning Officer took to the Commission for approval, was thus usually a compromise between what the university requested and what the Capital Planning Officer believed to be an amount likely to be accepted by the Commission and the Capital Development Committee as reasonable. Under these circumstances the role of the Capital Planning Officer was to act as a guardian of the public purse, but at the same time to arrive at a position which was as acceptable as possible to the university.

Once a project had obtained the approval of the Capital

Development Committee, the Commission's work was finished. The end product of the Commission's work on any particular project was to take a proposal to the Committee, and once that was done, the university was free to proceed with its building by arrangement with its builders and architects. The Commission had no powers to call the universities to account with respect to approved capital projects, and the university from that point on was at liberty to use the approved budget in any way it saw fit. The Commission's function was to arrive at a recommended level of expenditure in respect of capital projects and to take that recommendation to the Capital Development Committee where final approval generally followed as a matter of course.

Program Development

It was probably indicative of the priorities facing the Commission in its early years that the last officer to be appointed to the staff was the Academic Planning Officer. At the beginning, the Commission was heavily involved in establishing procedures for the allocation of funds, and at that time, when enrolments were comparatively small but rapidly growing, when the economy was buoyant and more than able to support its expanding universities, the question of exercising control over program development was rarely raised. Programs were introduced and others were extended largely at the will of the individual institutions on the quite well-founded assumption that money would be found to support them.

There seemed to have been a reluctance on the part of government, during the writing of the Universities Act, to identify clearly those specific areas over which the Commission was to be granted a control function, as if the autonomy of the institutions should be preserved at

all costs. The vague terminology of the Act caused problems of interpretation in the program area, and although there was implicit recognition that some kind of control was indeed a legitimate function for a coordinating agency to undertake, over the matter of powers through which this control was to be exercised, the Act was circumspect.

There were three areas in which the Academic Planning Officer, through his interpretation of the Universities Act, believed his responsibilities to the Commission lay: in gathering and disseminating information among the universities, in regulating or prohibiting programs to avoid or reduce "undesirable or unnecessary duplication," and in regulating or prohibiting the establishment of new schools or faculties. The first of these responsibilities was outlined in the Act as follows:

The Universities Commission is empowered to
70. (c) gather and make available to the universities and the government information relating to university education in Alberta and elsewhere in order to assist in the preparation and execution of plans for the development or establishment of universities to the end that they may be fully adequate to the needs of society (Universities Act, Chapter 378:5657).

This the Academic Planning Officer interpreted as mandate for the development of an academic master plan to guide decisions about the establishment or extension of academic programs in the universities. Under his auspices an Academic Master Plan Steering Committee was created, and at the time of the investigation for this study (1972) was at work on the preparation of such a plan.

Developing an Academic Master Plan. From the beginning of his appointment to the Commission, the Academic Planning Officer believed that decisions with respect to the prohibition and regulation of university programs could not be made except in relationship to a clear concept of university system development. He believed that the creation

of a model or structure which would describe over a number of years a reasonable development of academic programs among the provincial universities to be an essential undertaking. He saw the task of updating, developing and projecting to be constant and on-going functions, providing a structure in which priorities could be clearly identified and tasks most demanding of attention could be clearly identified (Kristjanson, 1971).

Impetus for the creation of an Academic Master Plan Steering Committee first came in 1969, when the Coordinating Council approached the Commission for a budget whereby such a committee might be established. The Chairman at the time, Thorssen, while sympathetic to the need for the committee, felt that it should be placed under the aegis of the Commission. Consequently, the committee when formed consisted of three members from each of the universities, two members from the Colleges Commission, two members from the Universities Commission, and a Chairman, Dr. W. E. Beckel, then Academic Vice-President of the University of Lethbridge. Later representation from the Banff School of Fine Arts increased the membership to 20 persons. The Steering Committee was formed into three Task Forces, one dealing with General Education in the universities, one with Research and Graduate Studies, and one with Professional Studies.

University support for the Master Plan Steering Committee was not enthusiastic, and at the time of the investigation for this study its future as a means of creating a Master Plan was in some doubt. Part of the explanation for the Committee's uncertain future might have been its lack of an adequate information system and research base, one which was able to provide data beyond that derived from the research efforts of

individual institutions. Another explanation might have been in the composition of the Committee itself. It would seem that institutional representatives experienced some difficulty in freeing themselves from a parochial point of view when participating in discussions on the future of the university system. In the absence of data descriptive of the system as a whole, they tended to argue from a restricted, institutional base. The same criticism, that of an inability to adopt a system point of view, was made of the Universities Coordinating Council in explaining the apparent failure of that body to come to grips with academic matters affecting the university system.

The regulation of program development. The vague nature of the Universities Act with respect to Commission jurisdiction over program development may be seen in the following extract:

70. The Universities Commission is empowered to
(h) regulate or prohibit

(i) the extension, expansion or establishment of any service, facility or program of study by a university so as to reduce or avoid an undesirable or unnecessary duplication of a similar service, facility or program of study already provided by a university, and

(ii) the establishment of a new school or faculty by a university . . . (Chapter 378:5657).

After a period of uncertainty with respect to the meaning of the term "program of study" in relation to the terms "school" and "faculty," the Commission accepted "program of study" to refer only to graduate programs and to departments and to nothing below the level of departments. Thus the Commission restricted itself to exercising a statutory control over graduate programs and departments only to the extent of new programs and departments which appeared to constitute an

unnecessary or undesirable duplication. In the case of new schools and faculties, the Act did not impose the requirement of similarity, giving the Commission authority to regulate or prohibit irrespective of whether similar schools or faculties were already in existence. Over the precise meaning of the terms "service" and "facility" the Commission did not appear to have been particularly concerned.

The role of the Academic Planning Officer in matters affecting program development was to accept proposals from the universities, to examine them with respect to their possible "unnecessary or undesirable duplication" and to pass the proposals on to the Commission with a recommendation for their approval or rejection. In arriving at decisions with respect to programs, the Academic Planning Officer relied upon the research conducted by individual universities but on occasion questioned universities' assumptions with respect to enrolment projections, demand for programs and manpower requirements for graduates. The technique most often employed in deciding upon a program's "unnecessary or undesirable duplication" of existing programs was to elicit reactions from universities as to the effect upon them of the establishment of a certain program in any one university.

Problems of interpretation of the Universities Act caused some misunderstanding. When the University of Calgary and the University of Lethbridge decided to extend their undergraduate degree programs in Arts and Science from three to four years, they merely informed the Commission of their intentions and proceeded on the assumption that the decision was theirs to make and not within the jurisdiction of the Commission. The vague nature of the Act made it difficult for the Commission to take any action, although some members regarded the matter

as a legitimate Commission concern.

The Provincial Appraisals Committee. Responsibility for the approval of new Ph.D. programs was delegated by the Commission in 1969 to the Provincial Appraisals Committee, a subcommittee of the Coordinating Council. This committee consisted of two deans of the graduate schools of the Universities of Alberta and Calgary, one other representative from the University of Alberta, one other representative from the University of Calgary, one representative from the University of Lethbridge, and the Chairman, who was at the time of the study the President of the University of Lethbridge. The Appraisals Committee had no Commission representatives but it reported to the Commission.

The process of program assessment began at the level of individual institutions, where the decision was made by a Board of Governors, following representations from a particular graduate faculty and the General Faculties Council for the establishment of a new Ph.D. program. The Appraisals Committee, following its counterpart in the Ontario university system, required the university to submit at least five names of internationally known experts in the field, and from this list made a selection of two or three persons to undertake an on-the-spot assessment of the proposed new program. After a period of four or five days at the university, the visiting panel of assessors produced a report which was incorporated in and used to substantiate the university's proposal to the Appraisals Committee. After further investigation of the proposal in the light of the best available information--either generated by the Committee members themselves or produced by consultants hired for the purpose--the Appraisals Committee reported its decision to the Universities Commission, where decisions

had to be made with respect to operating and capital support for the new program.

In arriving at decisions about the viability of new Ph.D. programs, the Provincial Appraisals Committee was guided by at least three criteria. In the first place the Committee had to be satisfied that the university requesting the program held professors who, in the particular field under consideration, were able to supervise graduate work and who possessed the necessary qualifications and enthusiasm needed to ensure success of the program. Secondly, the Committee considered the demand for graduates of the program, not only in Alberta but also in Western Canada, referring to the best manpower data available. Finally, the question of social demand was considered. All three criteria were discussed in committee, and a vote taken (Beckel, 1972).

The Provincial Appraisals Committee appeared to have been an active and successful institution. Its distinguishing characteristics, which may help to explain its apparent success and its acceptance by the universities, might be briefly noted.

1. The Committee was small; two representatives from each university--six in all.

2. Neither president of the two major institutions was included in its membership, nor was there representation from the Universities Commission. The two Deans of the Graduate Schools might have been less overwhelmed by special vested interests and more able than their presidents to think in terms of the universities as a provincial system. The absence of Commission members might have emphasized the autonomy of the Appraisals Committee in undertaking its delegated responsibilities. As one university president expressed it, the Committee had "real teeth."

3. Through the use of internationally-known appraisers, the universities were probably less likely to raise charges of favoritism than if the appraisals were conducted by in-province personnel.

The Provincial Appraisals Committee reported its decisions to the Universities Commission, and as the Commission had delegated Ph.D. program approval responsibility to the Committee, the Commission was obliged to abide by its decisions. However the Commission, by virtue of its control over program weightings, did in fact have at its disposal a mechanism for discouraging universities from initiating a program, even after Appraisals Committee approval. This blunt instrument of financial control was not used in Alberta up to the time of the present study; in fact it could have been effective only in the case of programs for which blanket approval had not already been granted. In the case of quite new programs, such as the first Ph.D. programs in Business Administration or Social Science, it could prove to have a very effective control over program establishment, although its use would tend to destroy the credibility of a committee whose work was generally described as entirely acceptable.

The Universities Coordinating Council. Although the nature of the contribution to program development expected of the Coordinating Council was never made clear, some interviewees expressed the opinion that it was hoped by the framers of the legislation that the Council should be able to contribute useful academic input into the deliberations of the Universities Commission. This apparently did not occur, almost the only point of contact between the two bodies being at budget time when the Council approached the Commission for its annual operating grant. The Council seemed preoccupied with what one interviewee termed its "housekeeping" duties connected with admission requirements or with

requirements for certification in the professions. It was apparently unable to resolve issues of coordination. In the past, when matters requiring decisions regarding the distribution of program responsibilities were discussed, it seems as if discussion was primarily a matter of university representatives putting forward their own pre-determined, institutional, points of view without regard for the needs of the system. Several interviewees referred to one particular occasion which in their view illustrated the failure of the Coordinating Council to contribute to system development.

The occasion referred to was the decision to establish a Faculty of Environmental Design at the University of Calgary. In preliminary discussions into the need for a Faculty of Environmental Design in the province, the Commission appointed a committee to conduct a study and to report on the feasibility of the establishment and on a recommended site for the new faculty. This committee reported that their studies favored the establishment of the faculty, and that it should be located at the University of Alberta. The Coordinating Council subsequently voted to recommend to the Universities Commission that steps be taken to proceed with the establishment in accordance with the Committee's recommendations. The arrival of a new president at the University of Calgary, however, marked the beginning of a controversy, as one of his first actions in the Coordinating Council was to move for a review of the decision to site the new Faculty of Environmental Design in Edmonton. In the debate which followed, Calgary and Lethbridge supported the establishment at Calgary, while the University of Alberta representatives supported the original decision. The Lethbridge representatives, holding the balance of power, were able to reverse the original decision and the recommendation which

subsequently passed to the Universities Commission was that the faculty should be established at the University of Calgary, a recommendation which was put into effect with the Commission's approval. Lethbridge's reasons for supporting Calgary in the debate were based on the assumption that decentralization and sharing wealth were to be preferred to strengthening an already large and powerful university in Edmonton (Beckel, 1972). While one might not question the validity of the decision to place the Faculty of Environmental Design at the University of Calgary, the means by which the decision was reached might quite legitimately be questioned. As one interviewee put it, the decision might have been the right one, but was it planning?

OUTCOMES OF PLANNING

Senior administrators in each of the three Alberta universities were asked to respond to the question: has the Universities Commission been an effective instrument in promoting development of the university system in Alberta? The following observations are based on the responses to this question, and on comments made during interviews by various other members of the several units composing the university system.

1. The Commission's most successful activities appear to have been in the area of finance, particularly in developing procedures for the equitable allocation of operating grants among the universities, in developing a concept of "emergence" for the support of newly established faculties and institutions, and to a lesser extent in developing criteria for the assessment of space needs at the universities and developing guidelines for capital project approval.

2. The Commission has been less successful in functioning as an

intermediary between the universities and the provincial government. One reason for the Commission's apparent failure in this respect was mentioned by several interviewees--its small staff and limited capacity for research tends to prevent the Commission from being able to make adequate assessments of system needs so that these needs might then be put to government as justification for requested levels of annual operating support and capital grants.

3. With respect to program development, the Commission has not taken a leadership role, preferring to react to university initiatives. Various reasons were advanced to explain the Commission's role: the Universities Act by implication warned the Commission against too much interference in the internal affairs of the universities; the Coordinating Council has not been able to provide academic input; the Commission subcommittees have not been able to contribute adequately to Commission decision-making by virtue of their lack of system-wide information and data; there has been no Master Plan to guide program development; and the research capability of the Commission, by reason of its small staff, has been somewhat limited. It is interesting to note that the Alberta Universities Commission delegated to a Provincial Appraisals Committee responsibility for Ph.D. program assessment, in much the same way as did the Ontario Committee on University Affairs with the Council of Ontario Universities.

SUMMARY AND ANALYSIS

The Alberta Universities Commission was established in 1966 primarily to relieve the provincial government of responsibility for dividing operating and capital grant money between the Universities of

Alberta and Calgary, and for developing procedures for capital project approval. Initially, the Commission was neither intended nor expected to become involved to any great extent in program approval. By reason of its limiting terms of reference, and by the wish of its members, the Commission never sought to venture into areas where its actions might have been construed as impinging upon institutional autonomy. In many respects the Commission appears to have fulfilled the purposes for which it was created, particularly in the area of finance, where formulae and guidelines have been developed and which appear to have been favorably received among the universities. In other respects, the Commission has not lived up to the expectations held for it, especially those expectations held by members of the academic community, who looked to the Commission in the early days for the exercise of an intermediary function--a function which according to some the Commission has not successfully performed. It should be noted, however, that one's perception of a successful intermediary role will depend to a large extent upon the position from which the Commission's activities are observed.

In the field of program development, the Commission's role has been adaptive, responding to university initiatives and endeavoring to anticipate university and government actions in order to avoid being caught unprepared. The Commission appears to have been excluded from some important areas of government decision-making with respect to university development, hence its potential for developmental planning has been limited. At the same time, the majority of the Commission members have seen the Commission's role not so much as a developing one as a containing one, interpreting their responsibilities to government as acting to curb university spending when and where possible.

Chapter 6

THE ONTARIO COLLEGE SYSTEM

This chapter describes the development and operation of Ontario's system of Colleges of Applied Arts and Technology and of the structures which were created to plan and coordinate that development--the Council of Regents for Colleges of Applied Arts and Technology, and the Applied Arts and Technology Branch of the Department of Education.

HISTORY OF DEVELOPMENT

In 1946 a system of centrally administered institutes of technology was established by the Ontario government largely to meet the needs of returning servicemen who sought technical and technological training to enable them to enter the work force. By 1964 it was becoming increasingly apparent that the existing structure could not meet all the demands that were being placed upon it, and suggestions were made for alternative structures. A major study on Grade XIII, commissioned by the Minister of Education in 1964, recommended the establishment of community colleges:

. . . this time we must create a new kind of institution that will provide, in the interest of students for whom a university course is unsuitable, a type of training which universities are not designed to offer. Fortunately, a beginning has been made in the establishment of the institutes of technology and vocational centres, but as yet these are few in number and their offerings are too narrow in range to satisfy what is required both by the nature of developing economy and the talents of our young people. The committee is therefore recommending the establishment of community colleges to provide these new and alternative programs (Basic Documents:11).

The Ontario Secondary School System had taken advantage of the

Federal Government's Technical and Vocational Training Agreement to embark upon an extensive program of comprehensive high school development in the early 1960's. Comprehensive high schools provided four- or five-year streams, the latter leading to Grade XIII graduation and university, the former leading to Grade XII High School Diploma with, typically, an emphasis upon practical courses in trades, business or commerce. The comprehensive high schools were very successful; retention rates increased remarkably as greater numbers of high school students elected to remain at school in the technical and vocational programs rather than drop out of high school altogether. Sisco (1971) pointed out that the increasing retention rates posed problems; while over 70% of the Grade IX intake was returning to graduate at Grade XII level, this created a large pool of high school graduates who, while not academically qualified for university entrance, were nevertheless eager to continue their education in some other way. It was to provide educational opportunities for this post-secondary sector that college development was commenced.

The Committee of Presidents of Universities of Ontario called attention in 1962 to the need for expanded post-secondary opportunities, particularly in the technical and technological areas:

We think that the relations of vocational secondary schools and technical institutes--indeed the entire development of technological and technical education in Ontario--should be investigated in depth by a competent and representative group, backed by a fact-finding and research staff. Direction, coordination and research are sorely needed in this field (Post Secondary Education in Ontario, 1962-1970, 1963:13).

The Minister of Education responded to these various pressures by appointing, in 1964, a small committee charged with the task of planning a post-secondary non-university system of education. Members of this

group included Mr. Lorne Johnston, then Director of the Technological and Trades Training Branch of the Department of Education, and Mr. Norman Sisco, Assistant Director of the Branch. Various members travelled extensively in Canada, the United States and Europe, investigating college systems in many different jurisdictions. The Minister, the Hon. W. G. Davis, also took part in the investigation of college systems in other countries. The committee finally recommended the establishment of a college system unique to Ontario; one that was not to include transfer as one of its principal functions, but was to concentrate upon technical and technological education--applied arts and technology. In May, 1965, the Minister made his intentions public:

What we have in mind . . . is not the imposition of an imported or alien institution on our educational system, but the development and expansion of our own present system to meet our particular needs

We have in mind composite or comprehensive institutions, preferably with several buildings on the same campus, providing a wide variety of programs of varying length, including work-experience programs, by day and in the evening, for adults as well as youth, and for probably more part-time than full-time students Some features will be common to all programs; they will be occupation-oriented, for the most part; they will be designed to meet the needs of the local community, and they will be commuter colleges (Basic Documents:12).

The situation demanded immediate action, and immediate action could be initiated only by government:

The headlong pace of technological change gives no chance of a pause in the development; the needs of youth, of the unemployed, and even of the employed for retraining and up-grading, are urgent. It might take up to five years for instance, to set up a provincial system of local administration and financing of such colleges We simply cannot afford to wait five years (Davis, Basic Documents: 12-13).

The development of the new college system was therefore to be placed under the Department of Education. In the Department there was already a Technological and Trades Training Branch which had had

experience developing and managing the technical institutes, and which could be expected to play a prominent part in the development of the new system. To assist the Minister in an advisory capacity there was created a body named the Council of Regents for Colleges of Applied Arts and Technology.

THE COUNCIL OF REGENTS

STYLE OF OPERATION

The Council's style of operation will be considered in terms of its (1) composition, (2) purposes and (3) relationships with other agencies.

Composition

Appointments to the Council of Regents were originally made by the Minister of Education, based for the most part on recommendations of the Applied Arts and Technology Branch. Sisco, the Branch's Director at the time of the original appointments, recalled that various organizations such as the Teachers' Federation and the Association of Professional Engineers sought representation on the Council. Senior officers of the Branch prepared a list of people thought to be suitable and submitted this to the Minister who made his final appointments from the list but also with consideration for the interests of other groups.

In May of 1970 it was decided to move the coordinating structure of the colleges into a position parallel with that of the universities. Consequently a full-time chairman was appointed, and legislative amendments made to provide for appointments to the Council to be the responsibility not of the Minister but of the Lieutenant Governor-in-Council.

Sisco's appointment to full-time chairmanship of the Council from his position as Director of the Branch was explained as follows:

Because I had been involved in setting up all twenty of the Boards of Governors and knew the Boards of Governors people, and because I had sat with the Council as Minister's representative, and because I had been working closely with twenty presidents, I was the person [chosen] (Sisco, 1971).

The advantages in having a lay Council of Regents were explained by Sisco (1971):

The greatest success of the Council has been in offering focus of leadership and philosophy to the twenty Boards of Governors . . . it's giving them a chance to relate to a group of laymen who have access to government and whom they find it easy to identify with. The Vice-Chairman of the Council is D. O. Davis, Vice-President of a big steel industry in Hamilton, a big man in the Canadian Manufacturers' Association, and with this type of person the Council is a wonderful instrument in helping the Boards develop their policies and being a body that is credible to the type of people you get on Boards.

Purposes

In terms of the Act of Legislature, the Council of Regents was to assist the Minister

. . . in the planning, establishment and coordination of programs of instruction and services of the colleges (Basic Documents:24).

Sisco (1971) explained that the Council's first major role was to act as a buffer to protect the Minister from local political pressures with respect to the establishment of colleges. It was also to supervise the rapid development of the new system.

The Council's position in the college structure--advisory to the Minister but with certain regulatory powers-- was based on two main assumptions: (1) the new college system had to be adaptable with respect to its role of meeting the needs of communities in which the colleges were situated, and this required the exercise of institutional initiative in developing programs to meet those needs and in providing

physical facilities to house them, and (2) where local boards had considerable delegated powers without the necessity of accountability to local taxpayers, some degree of central control was thought to be necessary. Thus the Council was to operate as a counterbalance to the inherent weaknesses of a decentralized system, with control over salaries and wage schedules, and program development (Sisco, 1971).

Relationships with Other Agencies

The Council's operation brought it into contact with the Applied Arts and Technology Branch of the Department of Education, with the colleges, and with the Minister of Education.

Relationship with the Branch. In the early stages of development of the college system, Council members tended to see the Applied Arts and Technology Branch functioning exclusively as the Council's secretariat. Senior Branch personnel successfully resisted that approach, as Jackson (1971) explained: "Once they got over the notion of a full secretariat reporting to them and not responsible to the Minister in any way, we got along fine"

While the Council and the Branch appeared to work together on almost all issues, there were certain functions exclusive to one or the other. The Council for example was not involved in the allocation of operating grants or in the provision of finance for capital development. The Branch, on the other hand, was not involved in the appointment of college board members.

Relationships between the Council and Branch appeared to be very close. As part of the function of the Branch was to provide a secretariat to the Council, Branch superintendents acted as secretaries to

various Council committees, and the Branch Director acted as secretary to the Council's Executive Committee. In addition, the closeness of the relationship was emphasized by the fact that the Council's chairman, Sisco, was formerly Director of the Branch. Sisco (1971) explained how the appointment affected relationships between the Council and the Branch:

It has worked extremely well, and that was part of the thinking that led the Minister to ask me to come over here, because as a former Director of the Branch I hope I had the confidence of the people that had been in my Branch, that I had built up, and it made it much easier to get that type of cooperative arrangement. If the Council wants information . . . people in the Branch do the documentation and come in with a recommendation that the Council may or may not take. I still work very closely with the present Director. If I wanted some major thing done, I'd go to him (Sisco, 1971).

Relationships with the colleges. Between the Council and the colleges, and between the Branch and the colleges, there appeared to exist a close relationship. The Council and the Branch saw their role as providing support, assistance and guidance to the colleges, and the colleges for their part appeared more than willing to accept this relationship. Referring to the adversary relationship that seemed to exist between the Committee on University Affairs and the Council of Ontario Universities, and comparing it with the college system, Sisco (1971) observed:

This adversary relationship doesn't exist with the CAATs [the Colleges of Applied Arts and Technology], probably because we are new. We have all been in a new development together, and there's a tremendous feeling of mutual trust and cooperation

Jackson (1971) thought that the greatest success of the Branch lay in "being able to develop a feeling that we are here to help them to do a job, and not hinder them"

The colleges appeared to accept and to welcome guidance and

direction from the Council and the Branch;

I have never been too excited on the matter of autonomy, and if autonomy means less efficiency, then I would shed no tears on its departure (College President).

If anything, colleges have had too much freedom to make the same mistakes twenty times. Institutional autonomy should not be a smokescreen for duplication of services, extravagance, or inefficiency (College President).

Further evidence of the colleges' close relationship with the Council and the Branch was seen in the fact that the Committee of Presidents of the Colleges customarily invited both the Council Chairman and the Branch Director to its meetings. Although the Committee had not developed to the stage where it could be considered an influential voice in college affairs, if its views reflected the majority opinion of its membership, then the presidents of the colleges were well satisfied with what had been accomplished through the tripartite structure of Council, Branch, and colleges:

This system of checks and balances was consciously designed to give government and society greater control over academic and financial planning than has been customary with the relatively autonomous universities. At the same time, the Colleges were not to be as restricted in their operations by the central bureaucracy as elementary and secondary schools.

The system has not worked perfectly Yet for a system which is still in the shake-down stage, the marvel is that so much has been accomplished with so little waste of time, effort, and money (Committee of Presidents of Colleges of Applied Arts and Technology, 1971).

Relationships with government. The work of both the Council and the Branch was characterized by the absence of government pressure and by an ability to work independently. Council recommendations to government were generally successful, as Sisco (1971) explained:

Every time we have a meeting there are certain resolutions that affect the operation of the system. These are always forwarded to the Minister, and with his approval they become part of general

policy and the colleges are so informed. There are always two to seven resolutions that go to the Minister after every meeting, and the great majority of them are approved.

In the matter of operating and capital support for the colleges, the Branch had full responsibility. Following Council and Ministerial approval of college capital and academic plans, the Branch assumed full responsibility for providing the necessary finance to allow development to proceed in accordance with those plans. The government allowed the Branch considerable freedom in the matter of college expenditures, as Jackson (1971) explained:

We were able to work very much independently in the first instance. We were authorizing colleges to spend hundreds of thousands of dollars on our say-so. . . . this is becoming more formalized and routine now.

PRINCIPAL AREAS OF PLANNING AND COORDINATION

Immediate tasks confronting the Council of Regents on its formation in 1966 were (1) to decide where the new colleges were to be located, (2) to appoint Boards of Governors to each of the new colleges, and (3) to approve capital plans and academic programs so that the Boards might proceed with establishing their colleges.

In arriving at decisions about the geographic location of the new colleges, the Council studied elementary and secondary school enrolment projections, and discovered a close relationship between these and ten areas identified by the Planning Section of the Provincial Department of Economics as being areas of high economic growth potential. It was decided to superimpose upon these ten economic areas twenty college areas, so that there would be a close relationship between the area served by a college and the economic characteristics of that area as described in the Department of Economics survey.

Boards of Governors were appointed to each of these twenty college areas, and charged with responsibility for recommending locations of the new campuses. In accordance with the Act, the Council appointed eight members of each of the Boards and the various municipalities appointed the other four.

College Boards were then asked to prepare master plans for academic and capital development in their colleges, consistent with the needs of their particular areas, and then to submit them to the Council for approval before being passed to the Minister for his ratification so that colleges could be started.

As the new Boards of Governors were for the most part inexperienced and not entirely certain of their roles, senior officers of the Applied Arts and Technology Branch were appointed as liaison personnel between the colleges and the Council. Five officers were given four boards each as their particular responsibility. These officers attended each board meeting and assisted boards to interpret the Basic Documents which had been prepared as guidelines for college development. Colleges learned to rely quite heavily upon these Branch officers, and when the decision was made to return them to the Branch, they were still sought out by their old boards for advice on a multitude of matters. The consultative-liaison roles which were begun with the original five senior Branch officers were maintained to some degree by Regional Coordinators whose work was reviewed in Chapter 3.

On-going responsibilities in planning and coordination included the provision of operating and capital support, tasks undertaken by the Branch, and program development, which came under the jurisdiction of the Council of Regents.

Operating Support

For the academic year 1971-72 the college system in Ontario was financed on the basis of a formula comparable to that used in the Ontario university system, with a basic income unit and different weightings for various programs and years within programs. Before that, officers of the Administrative Services Branch conducted a line by line analysis of budgets and prepared a master budget for the Treasury. The Council was never involved in financial matters, although with the introduction of formula financing some interviewees thought that the Council would probably assume responsibility for hearing college objections to various aspects of the formula, such as the weightings, and relay these objections to the Minister.

In developing an operating formula, the Applied Arts and Technology Branch incorporated concepts adopted previously by the university system. Consequently there was provision for using the same basic income unit as the universities (\$1,730 for 1971-72), for equalizing factors to be applied in the case of emerging colleges (similar to the universities' emerging grants for new institutions) and for a system of weightings based on estimates of costs to maintain various types of program. Weightings used for the 1971-72 fiscal year are shown in Table 12.

Capital Support

In 1966, when the college system was launched, each college was asked to submit to the Council of Regents a detailed master plan of college educational and capital aspirations over the ensuing five-year period. When the Council approved these plans, and had them ratified by the Minister of Education, the Branch assumed responsibility for providing

Table 12
Formula Weightings for Ontario Colleges^a

Category	Weighting
1. Full-time equivalent enrolment for extension class students	0.6
2. All years of Business programs and all Applied Arts programs which do not require special laboratory or studio facilities	1.0
3. All years of Technical and Technological programs, Creative Arts programs which require special studio facilities, and some special Business programs such as Computer Science which require appreciable computer time	1.2
4. Allied Health programs which require special clinical field experience facilities which are charged to the college	2.0

^a Data extracted from Memorandum to Colleges of Applied Arts and Technology, May 5, 1971, Ontario Department of Education, File 71-B-1

the finance to permit development to proceed. This it did in the following way:

. . . college requirements are identified and evaluated as specific projects. Each project must be related to a master plan of development for each college as approved by the Council of Regents. Projects must meet cost standards and serve the educational objectives approved for the college in the master plan. Annual capital allocations to colleges take into account estimated capital flow requirements on approved projects and on those contemplated for approval. General limits are set annually for colleges as a capital budgeting guide and are reviewed periodically during the year in accordance with project developments. The average college receives about \$3,000,000 per year; it is uncommon for any one college to receive more than \$6,000,000 in a year.

In view of the "tight" provincial education budget, support has not been as high as requested but, on the other hand, not that much less as to cause serious dislocations in the orderly development of the college campuses. Part of the reason lies in the "modular development" approach . . . which provides the flexibility to advance or postpone construction within the constraints of available capital (Allen, personal correspondence, June 8, 1972).

Capital development was thus handled by the Branch as an on-going activity. Only in cases where college development departed in a major way from the original approved master plans would the Council of Regents be involved for the purpose of approving or disapproving such departure.

Capital finance was provided largely on the basis of personal judgement of each project. The work of the Director of Administrative Services in this respect was described as follows:

. . . he would have an intimate knowledge of each college as a result of personally knowing the presidents, personally visiting the colleges and being aware of what planning is going on at the colleges, so because of this he would be in an excellent position to know what their needs are and translate these needs into an overall provincial pattern (Shaver, 1971).

The Branch appeared to operate under conditions of considerable independence in the matter of college financing. The rate of growth in the early days, however, was so rapid that capital development lagged

behind college (and Council) aspirations, and the Branch was obliged to distribute the money as best it could:

If we had to pay for everything the Council had approved in principle right away, government would go flat broke. The original intention, naively, of the legislators was to open one college and get them going one at a time, but after the legislation was announced there was just no way a community was going to sit back and watch another community get a college, so we had to get twenty colleges going simultaneously and to meter out the available dollars for operating and capital. Up to now the Branch has done all of that. Patterns are beginning to develop now, but a lot of it was intuitive assessment of their actual needs (Jackson, 1971).

Individual college growth rates so much exceeded the capacity of colleges to accommodate students that in many cases colleges were forced to operate in leased or rented buildings.

Program Development

In developing their original master plans, colleges were expected to probe the communities for indications of need for certain programs, and to provide evidence of that need in their proposals to the Council in the form of student enrolment projections, demand for programs, manpower requirements. Initiative for early planning was therefore very much the responsibility of the colleges, although Branch officers were always available and ready to assist.

One college president recalled that the Council's early decision-making with respect to program development lacked a coordinating motive, and the programs tended to be allocated to colleges without full regard for the possible consequences. The experience of one college may be useful in illustrating the Council's early approach to program development.

Centennial College, at Scarborough, was the first college to be established. In its first year, when program priorities were being

considered for future development, the Ontario Department of Youth suggested that a recreation diploma course should be transferred from Guelph University to more appropriate context in Centennial College. Centennial agreed, subject to certain conditions such as transfer of faculty and certain facilities, and subsequently planned for an intake of 40 students, increasing to 100 students over the ensuing three or four years. But in the meantime, other colleges were being established, each one eager to take on programs and expand as quickly as possible. One way to start a college, as Haar (1971) explained, was to look at what others had done. Consequently, Centennial's recreation diploma course was adopted by no fewer than seven other colleges and incorporated in master plans for their own development. The Council of Regents acceded to all requests, but limited the graduate output of each college to 25 students per year. Centennial objected to this method of distributing program responsibilities, and the college's objections were to some extent vindicated when for some programs only seven or eight students were enrolled. Haar explained that

. . . in its enthusiasm, and perhaps under pressure to launch institutions in the ten economic regions of Ontario, the Council didn't exercise enough coordinating control (Haar, 1971).

Provincial Advisory Committees. Preliminary work in respect of program development was largely the responsibility of one of a number of Provincial Advisory (or Consultative) Committees, composed of representatives from the colleges, the Curriculum and Student Services Division of the Applied Arts and Technology Branch, and the industrial or business community which had an interest in employing graduates of particular programs or in their certification.

Provincial Advisory Committees were set up in cases where two

or more colleges were contemplating the establishment of similar programs. The main interest of the committees was to determine if the duplication of programs was warranted, in the light of social demand and the need of manpower for graduates of the programs. In assessing need, heavy reliance was placed upon information obtained from Branch officers, one of which always acted as secretary to the committees, and from representatives of the business or industrial field appropriate to the particular program under consideration. Sophisticated planning techniques were not used, and assessment tended to be made on the basis of informed judgement rather than on the tools of manpower forecasting. The work of the Advisory Committees provided considerable opportunity for the participation of several different groups in arriving at decisions about program development, and while the methods used were not always adequate to the task--unnecessary duplication, according to the Committee of Presidents (1971) was not always avoided--this might be regarded as a relatively small price to pay for the operation of a participatory planning process which appeared in most respects to be quite successful.

Recommendations from Advisory Committees were carried to the Council of Regents, by Branch officers, for decision. As to be expected, the Council relied heavily upon the Advisory Committees' recommendations and supporting evidence in granting or withholding approval for new programs, and few recommendations were rejected. There were pressures, however, for the exercise of a greater degree of control over program development because of the uncertainty that existed over continuing financial support, and hopes were held for the planning potential of a computerized technique known as the Connect/Campus Project, which will be discussed in the following section of the chapter.

Initiative for program development was also taken on occasion by the Council or by Branch officers. Sisco (1971) spoke of one example where the Council became aware of impending government legislation to centralize municipal assessment of real property, and was able to work with the Department of Municipal Affairs in developing suitable programs to accommodate what was thought to be an emerging need for training in property assessment as a career. Consequently, several colleges were asked to consider offering such programs, and the result was seen in the provision of programs in Municipal Assessment in five different colleges.

Programs were also established as the result of approaches from interest groups external to the college system. Hazelton (1972) provided the example of an approach from the Department of Lands and Forests which wished to transfer its limited facilities for training Forestry Officers into the college system. In response, the Branch set up an Advisory Committee which included representatives from the Department of Lands and Forests, the forest industry, the Lumberman's Association, the University of Toronto where a degree program in forestry was offered, from the colleges and from the Branch, to discuss all aspects of the new programs--what the annual need for graduates would likely be, in what colleges the programs should be offered, where field experience could be obtained, the nature of the courses to be offered, their objectives and content--and all this information passed through to the Council of Regents where a decision was made to approve Forestry programs in three colleges, providing an annual supply of approximately 125 graduates, which was what the industry and the Department of Lands and Forests estimated they could absorb.

The Connect/Campus Project

The Connect/Campus Project was being developed in the Applied Arts and Technology Branch by the Informations Systems Officer in conjunction with a firm of technical consultants, at the time of the researcher's visit to Ontario. The project was an automated information system and simulation model, the purpose of which was to develop, operate and maintain a total information system so that the effects of government spending on college development could be monitored.

The first phase of the project, which extended over two years, was the compilation of data relative to all aspects of the college system. The second phase was in the construction of a simulation model to allow examination of program costs under a number of hypothetical situations--different staff-student ratios, unit costs, number of teaching assistants, and so on. On completion, Connect/Campus was expected to make for better, more informed, decision-making at all levels of college operation. It was expected that greatest benefit would be felt in the area of program development, particularly at the level of the Council of Regents.

OUTCOMES OF PLANNING

Reference has already been made to the relationship that existed between college presidents and the central agency for planning and coordination. Of the nine college presidents who returned questionnaires, none was critical of the Council of Regents, although some did suggest that in its early years, before the appointment of a full-time chairman, the Council was less effective than it appeared to be subsequent to that structural change. Every president affirmed his belief in the Council's

positive contribution to system development, and many provided examples of Council-initiated projects, including: Connect/Campus, the establishment of Provincial Advisory Committees, Arbitration of Labor-Management problems, establishing satellite campuses, and program coordination in the province. It was apparent that many presidents tended to see the Council and the Branch as constituting a single agency, as they did not distinguish in some instances between activities and projects undertaken by the Council and those undertaken by the Branch.

Planning for program development in the college system was a process which involved a large number of participants, and even though the Council had the final decision, there seemed little doubt that the input of all other groups was a significant influence on the final outcome. There were indications, however, that the Council was beginning to think in terms of extending its control in the program area, as Sisco (1971) explained:

In the program approval business, we have suddenly realized that it has to imply some program withdrawal as well, and imply some means of getting better coordination and better means of avoiding expensive duplication, particularly in the senior years. Take a third year chemical technology program, the equipment, the laboratory materials, the personnel, the teachers--these are expensive items. Now if in reasonable geographic proximity we have three chemical technology programs with seven or eight students in the third year, the costs of that are pretty bad. So what can we do either to get voluntary coordination, or failing voluntary coordination, what type of stick do we have that can force better coordination? (Sisco, 1971).

The Applied Arts and Technology Branch provided early momentum to the developing system. Its contribution to early planning was to provide much needed assistance to the new boards in interpreting the Basic Documents and in preparing master plans for educational and capital development, to college presidents in providing a link with the Council and the Branch, and to faculty in developing curricula for their

new courses. The dangers of this approach to system development were becoming apparent at the time of the researcher's visit. When the system was small, the Branch was able to perform a valuable consultative service. With development and expansion and increasing expertise in the colleges, the volume of demands on the Branch increased and the nature of these demands became more sophisticated and more difficult to satisfy.

Jackson (1971) explained the changing emphasis in the following way:

. . . the colleges have gained a momentum and are rolling at a pace faster than we are, and a good many decisions are hung up at the moment. The colleges are phoning us every day--when are we going to hear about this? We generated the momentum to get the system going, and the colleges picked that up and are developing expertise rapidly, and now we are getting involved in the snarl of vertical organization. . . .

SUMMARY AND ANALYSIS

The Council of Regents for Colleges of Applied Arts and Technology approached its task of promoting the development of the college system under the influence of several distinct features.

1. The Council's mandate, to bring a new college system into existence as rapidly as possible, seemed to require the exercise of some unusual powers. The Council appointed majority membership on college boards, decided on the location of new institutions by delegating this responsibility to the local boards, and it reviewed master plans for capital and educational development as they were produced by the colleges.

2. The Council was not involved in the matter of financial support for the colleges, this function being handled by the Applied Arts and Technology Branch. The Branch submitted requests to Treasury for annual operating grants and for capital grants, and developed policies

with respect to the distribution of those grants. In adopting a formula for the distribution of operating grants, the Branch followed the lead set by the Ontario university system.

3. Both the Council and the Applied Arts and Technology Branch were able to work under conditions of considerable independence. Both groups appeared to receive the continuous support and confidence of the provincial government.

4. Centralization of control in several key areas, and the reliance of the colleges upon the Branch for early guidance and direction probably accounted for much of the success in establishing and developing the system. There was some evidence to suggest that the dependency relationship which these circumstances probably created was difficult to relinquish. The colleges continued to depend upon the Branch for its consultative services, and upon the Council for leadership in other ways. The dependency relationship was emphasized--and possibly perpetuated--by Council's function of appointing members to college boards of governors. It may help to explain the absence of a strong cooperative element among colleges of the system.

5. In program development, the Council of Regents tended to base its decisions to approve or to disallow programs on considerations of social demand and manpower requirements, with the decisions falling somewhere between the two criteria. There was little evidence of an overall plan for system development, and some evidence to suggest that on occasion decisions were made without consideration for system needs.

6. There was little evidence that the colleges individually or collectively shared to any great extent in system decision-making, and little evidence of their desire to do so. There was no formal mechanism

whereby the views of the colleges could be made known to the Council. The only contacts appeared to be through visits to the colleges by Regional Coordinators or Curriculum Consultants, or in meetings of the Committee of Presidents, to which the Chairman of the Council and the Director of the Branch were customarily invited.

Consideration of the Council's approach to planning and coordination in terms of the conceptual framework seems to suggest that the Council has concentrated its efforts upon coping with problems of growth and expansion, and has not been particularly active with respect to program development from a system perspective. The problems of an emerging system appear to be somewhat different from those of an established system, and require different approaches for planning and coordination. Having successfully established a college system, and having guided its growth through the early years of its development, the Council of Regents appeared to have reached a stage where more of its attention would be devoted to taking stock of the system, to identifying directions in which the system might advance, and in exercising a greater degree of control over program development, even to the extent of terminating programs where their viability was in doubt.

In order to fulfil an allocative planning function in program development, which appeared to be the Council's intention, there may need to be a revision of the Council's role and a structural change which would allow colleges to contribute more positively to system decision-making.

Chapter 7

THE ALBERTA COLLEGE SYSTEM

This chapter deals with the growth and development of Alberta's College system and with the structures which were created to plan and to coordinate that development. The statutory coordinating agency in the Alberta college system is the Colleges Commission.

HISTORY OF DEVELOPMENT

As early as 1910 the Alberta Provincial Legislature passed an Act which provided for the affiliation with the University of Alberta of any institution or college, but it was not until 1957 that the first public junior college was established in Lethbridge.

In 1958 the Legislature passed an Act to provide for the establishment of public junior colleges in Alberta. This Act, and later amendments made provisions for colleges to be established for the purposes of offering first year university courses, second year university courses with the approval of the university with which the colleges were affiliated, and other subjects of a general or vocational character not provided in the high school curriculum. Establishment was contingent upon the approval of the Minister and the Board of Governors of the affiliate university. A college board was to be responsible for the administration of the college, except that the affiliate university was empowered to approve admission requirements to transfer courses and the appointment of instructors for these courses. Financial support for the colleges was

to be derived from government grants, gifts, tuition fees, and the local school board, the last to be determined by a formula drafted by the college board and approved by the Lieutenant Governor-in-Council.

Under these circumstances colleges were under the control of the universities to a marked degree; this control was all the more evident from the fact that colleges at that time stressed university transfer courses rather than vocational and technical programs. In Lethbridge, and in all colleges established up to 1967 (Red Deer, 1964; Medicine Hat, 1965; Grande Prairie, 1966), the main emphasis was on university transfer. From 1962, when the Federal Government made large grants available for the specific support of technical and vocational education, an attempt was made to expand program offerings in the non-transfer fields. The emphasis on transfer programs might have stemmed from the lack of a system plan for the colleges:

There appeared to be no definite plan for the development of either the institutions individually or for a system which in fact did not exist. How colleges were built or programs developed, and how both of these were financed, was all very vague. From 1962 to 1967, there were spurts of growth in the new colleges, but again the major emphasis was on the university transfer programs (Master Planning Monograph No. 1, Alberta Colleges Commission 1971:4-5).

Concern over the lack of system planning was expressed by Stewart (1966) who was commissioned by the provincial government to undertake a special study on the junior colleges of Alberta. Stewart noted the preoccupation with university transfer, stating that their further development at the expense of vocational-technical education would leave a vacuum in provincial post-secondary education. He suggested that the Public Junior College Act had failed to create the needed systematic approach to the problem of post-secondary education in the communities in which the colleges were located. Stewart recommended that all post-

secondary institutions other than universities be integrated into a provincial system, that arrangements should be made for articulation with other institutions, that the provincial Treasury make available sufficient funds for the support of a comprehensive range of program offerings, and that adequate educational opportunities should be provided for students who were not qualified for, or who did not wish to attend, provincial universities.

The Provincial Board of Post-Secondary Education. In response to various pressures, including the Stewart Report, the 1967 Session of the Provincial Legislature passed an Act to amend the Public Junior Colleges Act, authorizing the establishment of a Provincial Board of Post-Secondary Education (An Act to amend the Public Junior Colleges Act, Chapter 64, 1967, Edmonton, The Queen's Printer, 1967). The Board was composed of 15 members appointed by the Lieutenant Governor-in-Council and was given responsibility for advising the Minister on matters of finance and administration, and on future provincial needs in the post-secondary field.

The Provincial Board, under the chairmanship of Dr. G. L. Mowat, chose to devote the major portion of their work to achieving an overhaul of the post-secondary system. In 1968 the Board took before Cabinet a set of recommendations which would, if implemented, have placed under a single coordinating board all of the existing post-secondary non-university institutions--colleges, institutes of technology, and agricultural colleges--each with its own board of governors. Certain cabinet members expressed opposition to this arrangement, and the recommendation was never put into effect, although provision was made in the new Colleges Act for such amalgamation if at a future date it was

thought to be necessary. Other recommendations of the Provincial Board found expression in the Colleges Act, 1969.

The Colleges Act, 1969. This Act provided for a nine-member Alberta Colleges Commission appointed by the Lieutenant Governor-in-Council with the exception of three ex officio members--the Deputy Minister of Education, the Deputy Minister of Agriculture, and the Deputy Provincial Treasurer. The Chairman was to hold a permanent appointment. The Commission was empowered to appoint its own permanent staff. It was given advisory powers in respect of the establishment of new colleges and over the amount of the total annual college budget. It was given regulatory powers in the distribution of financial resources among the colleges, in program development and in capital development. College boards were given powers by the Act to determine admission requirements, prescribe tuition fees, and provide courses only with the approval of the Colleges Commission.

THE ALBERTA COLLEGES COMMISSION

STYLE OF OPERATION

The Commission's operating style will be considered in terms of its (1) composition, (2) purposes, and (3) relationships with other agencies.

Composition

The role of the nine-member Commission Board in general was to react to proposals brought them by staff members, although members of the Board could also introduce items for consideration. Rees (1972) explained:

New ideas may be proposed by commissioners or by members of staff. If they are of a complex nature, requiring development of background information, staff members may be asked to investigate and develop the idea further, probably submitting it as a recommendation at the next or a subsequent meeting. Although staff members are very knowledgeable and astute in making proposals, the Board does its own thinking, and does not act as a rubber stamp. Every suggestion, from whatever source, is carefully analyzed as to its merits.

Most of the time in Commission meetings, as would be expected, was devoted to discussion in those areas of responsibility as designated by the Colleges Act, and for which particular members of the staff had jurisdiction. One Board member stated that most of the Commission's time and attention was devoted to:

1. Finances, including reviewing budgets and financial statements of all the colleges and the Commission itself.
2. Program development.
3. Visits of Commission members to college centres.
4. Capital development considerations.
5. Preparation of changes in legislation for consideration of the government at their next session.

Commission meetings were held regularly each month, and on other occasions when matters were thought to demand urgent attention. Before each meeting of the Board a Commission staff member prepared an agenda which, together with all necessary supporting documents, was sent to each member well in advance of the meeting. The agenda package typically contained recommendations on issues which staff members wished to bring before the Board for decision, and documented position papers supporting each recommendation. Staff members were free to raise issues of their own choosing, and could act independently in conducting research to gather data to support their recommendations. Issues raised by staff members at Board meetings were quite often discussed among the whole

staff beforehand and as a result were generally, but not always, supported by the Chairman at Board meetings. Where Commission staff were united in putting a recommendation to the Board, they were almost always successful in having it approved. Commission staff members attended every meeting of the Board but with the exception of the Chairman did not have voting privileges.

The Commission staff was limited to four directors and support staff both by decision of the Commission and the wish of government. The staff were divided in their opinions on this matter. Some thought that a small staff had advantages in that communication among directors and with the Chairman was easily maintained. They also thought that with a larger staff there would be a danger that staff would tend to encroach upon areas of responsibility that were under the jurisdiction of the colleges. Other staff members thought that the research capability of the Commission would be enhanced by the addition of further staff.

Purposes

Prior to the Board of Post-Secondary Education, there had been no agency other than the Department of Education responsible for coordination of the college system, and with growing enrolments and the possibility of other colleges being established, the Department of Education was finding it increasingly difficult to cope with all the demands made upon it by the colleges. Originally it was felt that a special branch of the Department of Education might be formed to deal with the colleges, creating a structure somewhat similar to that used in Ontario for college coordination. The Board of Post-Secondary Education however decided that a Commission structure would be better able to promote the interests of the college system. Mowat (1971) recalled

the Board's aspirations for the Commission as follows;

It was felt that the colleges should be independent institutions, governing institutions working within the framework of law but having considerable leeway for making decisions within policies established by the Commission. Thus we saw the Commission as being in the business of setting up policies, governing the operations of colleges, setting up general procedures which would enable colleges to know what financial support they would have for what kind of activities. We saw the Commission as being in control of the expansion of the college system to prevent the unfortunate development of a college for local political reasons when it could not otherwise be a successful college venture. Thirdly, we saw the Commission as representing the needs of the system to government, a single voice immersed in the future of the college, studying it, controlling its development in the fiscal sense but espousing it in the conceptual sense.

Relationship Between Commission and the Colleges

Apart from contacts made through the Colleges Advisory Committee, Commission-College relationships were maintained through frequent visits to colleges by members of the Commission staff, and visits occasionally conducted by members of the Commission Board. The Chairman of the Commission stated that Commission capacity to offer consultative service to the colleges was limited by the small staff, and that consequently the Commission's regulatory rather than its leadership functions had been emphasized in the past (Kolesar, 1971).

Criticism was expressed by one college president of the Commission's lack of participation in planning at institutional level:

Any participation in planning has been ex post facto; they have almost a judicial method of participation. You do all the work and you throw it at them and you justify it, and if you can't justify it they don't accept it. Very seldom are they in at the beginning, making positive suggestions, giving help and support . . . this to me is not coordination in the broader sense.

Colleges have tended to make two seemingly incompatible demands upon the Commission. In the first place they have pressed for an increase in autonomy, and secondly they have requested more Commission regulation and control, particularly in the areas of program development

and faculty salaries. With respect to program development, smaller colleges requested the Commission to protect their interests by assigning exclusive responsibility in some program areas to certain colleges. This the Commission was not prepared to do. In the matter of faculty salaries, colleges sought to transfer responsibility to the Commission to avoid having to negotiate salaries with their faculties.

Relationship Between Commission and Government

The Commission had responsibility for advising government on the establishment of new institutions, and also on total levels of financial support for the college system. With regard to the first, the Commission either responded to requests from the Minister of Education for information, or itself conducted investigations into the feasibility of college development in certain areas. The nature of Commission-government relationships was described by Kolesar:

When the staff does work for our own agency, the Commission decides whether we will proceed with it or not. When we do work for other agencies, such as the Minister, then he may or may not decide that it's going to be used . . . he may let it sit.

Up to the 1971-1972 fiscal year, the amount of money requested by the Commission of government for the support of the college system was equal to the sum granted. On a number of occasions prior to that year the Minister of Education had indicated his intention of granting a larger sum than the Commission had actually requested; this the Commission resisted, on grounds that the additional money could not be used in an efficient way.

One college president believed that the Commission's role as an intermediary between colleges and government was difficult to fulfil in view of the manner of the Chairman's appointment. He believed that the

Chairman was responsible not to the Commission but to the Minister of Education who was primarily responsible for the Chairman's appointment, and that this relationship prevented the Chairman from leading the Commission in an active, unified role, as he was caught "between the political desires and necessities of government and the needs of the college system."

PRINCIPAL AREAS OF PLANNING AND COORDINATION

The Commission's early work was related to the assumption that its major task was to provide a system of colleges which would cater for the most part to the needs of post-secondary students who were not destined for university but who sought, and who could benefit from, some other form of post-secondary education. At the same time the Commission recognized that the college system, especially in those areas remote from universities, had some responsibility to offer university transfer courses. Right from the beginning, the Commission found itself involved in all of the three main areas of coordination: operating and capital budgets, and program approval. It was therefore compelled, at the outset, to devise a structure for the development of the system. This it attempted to do by drawing up a long-range plan based on projections of college enrolment. Studies were made of the numbers of students graduating from the high schools, and from that potential pool of post-secondary students estimates were made of the numbers who would eventually seek admission to the colleges, the universities, and the institutes of technology. Of the projected pool of post-secondary candidates who could be expected to show an interest in college education, the Commission's long-range assumption was that places should be provided for about 80%.

The plan was to be subjected to continuous revision and up-dating on the basis of actual enrolments. If the rate of intake exceeded expectations, the plan was to be accelerated; if intake fell below expectations, then the plan could be slowed down.

The early emphasis of the Commission was therefore upon development, of encouraging people to attend the colleges and of providing places for them. The colleges were for the most part quite small, and eager to grow.

Operating Support for the College System

Two important functions of the Commission, and the special responsibility of the Comptroller, were to advise government of the required annual operating operating budget, and to distribute the sum granted among members of the college system.

Generating the total budget. Operating support for the college system was provided each year by government under the provisions of the College and University Assistance Act, in which the basis for calculation of the total operating budget was college enrolments multiplied by a per-pupil sum adjusted each year to take into account increases in the cost of education. Representations to government with respect to the budget were made each year by the Commission acting on the advice of the Comptroller, whose task was to monitor the needs of the system, translate those needs into financial requirements, and to submit his findings to the Commission.

In arriving at an assessment of colleges' operating needs, the Comptroller requested from each of the colleges statements of budget requirements for the ensuing twelve months. In the early stages of the Commission these were so varied in format that interpretation and

comparison were difficult, hence in the first year the Comptroller devoted considerable time to the development of a standard budget information system. The trend in the second and third years of the Commission was towards further standardization of budget procedures.

Allocation. At the time of the Commission's establishment, certain anomalies were found to exist in procedures for financing college operation. In the first place, the budget was granted on the basis of college enrolments as of December 1 in any year, the end of the then financial year and a time when for most colleges enrolments were at their highest level. For colleges whose enrolments were increasing rapidly, this procedure generated a substantially higher sum than would be the case if average enrolments were counted, hence in the interests of economy and equity among institutions the Comptroller recommended a change in the fiscal year to coincide with the academic year, and that enrolments be counted one quarter of the way through each college program. This recommendation was subsequently implemented by the Commission. In the second place, it was found that there were significant differences among institutions with respect to factors influencing operating costs, such as rents on buildings and types of programs offered, some being more costly to run than others. This information resulted in the identification of two kinds of college expenditure, one that was termed "fixed", and the other which was called "variable." "Fixed" expenditures referred to those not significantly related to student enrolment, including physical plant operating costs, salaries of the presidents, and administrative overhead. "Variable" costs referred to instructional expenses, faculty salaries, costs of instructional materials and incidental costs related to instruction. For the 1971-72 academic year, college budgets were

accepted and approved on the following basis: fixed costs were paid in full and variable costs as requested by college boards and subsequently approved by the Commission, were to be multiplied by a factor of

$$\frac{\text{actual enrolment}}{\text{estimated enrolment}} \quad \text{or} \quad G = F + V \left(\frac{A}{E} \right)$$

It was apparent that greatest differences among the colleges occurred in the fixed cost area, and application of the formula described above resulted in a more equitable allocation of operating funds than had been the case in the past. Similar procedures were used for the 1971-72 fiscal year, with colleges conducting their own estimates of operating costs in the two areas of fixed and variable operating needs, and submitting their requests to the Commission for approval in advance of the fiscal year to which they were to apply.

To guide colleges in the preparation of their 1972-73 budgets, the Comptroller issued a set of guidelines which emphasized the need for economy and efficiency in the use of staff and facilities. It is indicative of the kind of relationship that existed between Commission and the colleges that the Comptroller would feel the need to make the following comment in his guidelines:

Low enrolment classes and low teaching loads for some academic staff were noted, and staff should be utilized for the 10 or 11 months as prescribed in the contracts (Financing the College System, Alberta Colleges Commission, 1972:7-8).

Capital Development in the College System

Support for capital development in the system was provided each year by government in a lump sum, following representations from the Colleges Commission. An assessment of capital needs was made annually by the Director of Administrative Services, who submitted his assessment to the Commission for approval and for passing on to government. To

assist the colleges in preparing submissions to the Commission, the Director of Administrative Services prepared sets of guidelines.

These guidelines resulted from a desire on the part of the Commission to promote a consistent and rational approach to campus development. General dissatisfaction had been expressed with procedures used by the Buildings Branch of the Department of Education, which body had been responsible for campus development before the Commission, and the Commission assumed responsibility for developing alternative procedures. The objectives of the Commission in preparing guidelines were to assist the colleges in their own planning for campus development, and to rationalize development on a system basis to ensure fair and equal treatment of all member institutions.

Capital requests were handled project by project as they arrived from the colleges in the following way. Initial planning was the responsibility of individual colleges which, working within the framework of the established guidelines, prepared proposals for the Commission. Decisions on physical facility requirements rested initially on approval of academic programs, following which the colleges' translation of their academic programs was examined by the Director of Administrative Services, whose principal concern at that stage was to ensure that adequate facilities would be provided for the program and that the estimated cost of the project would fall within the bounds of reasonable government support. Following approval of the proposal in principle, the college was asked to provide sketch drawings which included in greater detail the area to be provided, the number of students to be accommodated, and a more accurate estimate of the total cost. The third stage was the working drawing stage, when the Commission's chief concern was to ensure

that the project was proceeding in accordance with the guidelines, and if it was not to seek clarification and explanation from the college's architects and project directors. At the stage of tender, when the final cost was of prime consideration, the government's allocation of a maximum cost figure was a limiting factor. Although the Commission negotiated each year with the provincial government for capital grants for on-going and proposed projects in the college system, the government had the final word on capital support, and projects could be approved only if their costs, in total, did not exceed the appropriation made by government. Following approval by the Commission, and acceptance of a tender, capital projects became the responsibility of individual colleges, their architects and builders, with the Commission's involvement from that point limited to providing consultative service if requested.

Guidelines were developed by the Director of Administrative Services for instructional buildings, site selection, residence development, and student association facilities. In the process of developing guidelines, the Director incorporated data gleaned from the literature, ideas and suggestions from college personnel, architects and engineers, and a personal philosophy of educational space appropriate to the colleges of Alberta.

Colleges had considerable latitude in operating within the guidelines. If they wished, they could depart from the guidelines, but were expected by the Commission to be able to justify that departure. Mount Royal College, for example, was permitted to exceed guideline boundaries with respect to library facilities, in order to provide what the college claimed was more appropriate accommodation for individualized instruction methods. Guidelines were rigid only with respect to

specialized instructional areas--amounting to about 55% of the total space, with the remaining 45% to be allocated at the discretion of the college--and to gross area maximum and cost per square foot maximum, the last a limitation imposed by government's allocation of a fixed capital figure for the particular project under consideration. However, the gross area maximum was based on colleges' own master plans for capital development, and included a built-in factor for the accommodation of a larger student enrolment than anticipated. Colleges had autonomy, within the guidelines, in matters of design, as the variety of building styles among new projects in the system testified.

Program Development in the College System

Program development was the responsibility of the Director of Instructional Services, who saw his role involving the approval of new programs, the identification of emerging needs for programs, and the encouragement of colleges to develop programs in new areas (Fast, 1971).

One of the Director's first tasks was to require all colleges in the system to submit an educational master plan, setting forth their aspirations for the ensuing five years. It was soon apparent that five individual master plans did not constitute a sound master plan for system development. Consequently, at the suggestion of the Director of Instructional Services, work was begun in 1970 on the preparation of an Alberta Colleges Master Plan. This task was placed in the hands of the Commission's Director of Research and Planning.

In the absence of a master plan for educational development, the Director of Instructional Services drew up a set of criteria and procedures for the guidance of colleges contemplating the establishment of new programs. These criteria were based on the Director's

interpretation of the Colleges Act which charged the Commission with the task of promoting orderly growth and development of the college system without the occurrence of unhealthy competition and unnecessary duplication. The criteria therefore stressed the need for careful investigation of the clientele to be served by new programs to ensure that sufficient numbers of students would be seeking enrolment, and a careful survey of employer demand for graduates of the programs. In evaluating proposals submitted by the colleges, the Commission paid particular attention to the possibility that the programs might constitute unnecessary duplication, checked on the soundness of the colleges' research in connection with their proposals, and considered the financial feasibility of introducing the programs. As an example of the Commission's evaluation procedures, the following has been extracted from an agenda package prepared for an early Commission meeting. It concerned a request from Lethbridge Public Junior College for permission to offer a Social Service program. The Commission staff recommended deferment of the proposal, stating that:

Whereas there are currently three institutions in Alberta offering a two-year Social Service program, and

Whereas these three institutions, namely Mount Royal College, Red Deer College, and the Northern Alberta Institute of Technology have the facilities to graduate 75 students annually, and

Whereas the relationship of the manpower demand to the number of graduates is not clear, and

Whereas a research study has been sponsored jointly by the Alberta Colleges Commission, the Alberta Universities Commission and the Human Resources Research Council to determine the supply-demand factor at three levels: the two-year diploma, B.S.W., and the M.S.W.,

Therefore, it is recommended that the Alberta Colleges Commission delay action on the Lethbridge Social Service program until such time as the findings of the study have been submitted to the Commission.

The rejection of a program proposal was a comparatively rare occurrence. In the first three years of the Commission, up to 1971, 42 new programs were assessed and approved for introduction. During 1969 and 1970 decisions on three programs were deferred, a request for one program was withdrawn, and only one was rejected. The high incidence of program approval, in relation to deferment and rejection, might be attributed to a combination of several factors:

1. Colleges prepared their proposals well, providing satisfactory evidence of existing and continuing need for the programs, and evidence of their capabilities to provide satisfactory instruction.
2. Commission investigation revealed no evidence of potential "unhealthy competition or unnecessary duplication."
3. Adequate financial support for new programs, at least in the Commission's first three years, was virtually assured.
4. The Commission tended on the side of leniency in approving programs, particularly in view of the favorable financial climate that undoubtedly existed in the early years of the Commission.

Some support for the notion that the Commission tended to err on the side of leniency in approving programs was contained in the remarks of one college president, who described the program approval procedure as ". . . almost ceremonial. We go through the prescribed research, the right cliches"

In encouraging the development of new programs in the college system, the Commission on occasion took the initiative. In the establishment of Law Enforcement Programs in three colleges, for example, the Director of Instructional Services undertook, almost as a personal mission, a considerable amount of background research and discussion to

develop a concept of law enforcement education for the province and to pave the way for its introduction into the college system. In discussion with the Director of Instructional Services, the following sequence of events was revealed:

1. Awareness of possible need for law enforcement education in the province.
2. Confirmation of the need through investigation of the Alberta situation, involving survey of law enforcement manpower requirements (parole officers, correctional officers, court officers, police officers).
3. Survey of the literature on law enforcement programs to establish feasibility of introduction into the colleges of Alberta.
4. Discussions with the Commission Chairman to elicit support.
5. Discussions with the Director of Administrative Services and the Comptroller at the Colleges Commission relative to implications for capital development and costs of operating programs.
6. Discussions with the Attorney-General to obtain reaction and to elicit his support.
7. Discussions with police associations and with urban mayors.
8. Preparation of position paper for submission to the Colleges Commission.
9. Item placed on Commission agenda. Position paper, proposal and recommendation circulated among Commission Board members.
10. Approval by Commission Board.
11. Approval in principle by Attorney-General's Department.
12. Discussion with Advisory Committee with respect to the introduction of law enforcement programs in the colleges.
13. Proposals received from colleges wishing to introduce

programs.

14. Programs approved by the Colleges Commission in three urban colleges, each program representing a different emphasis in law enforcement education.

15. Programs established and students enrolled.

Lethbridge	Two-year diploma program for recruits
Mount Royal	In-service program for police in the field, theoretically oriented
Grant MacEwan	New program, similar to Mount Royal.

A difficult coordinating problem which was assumed in part by the Director of Instructional Services related to the transferability of college students to other institutions, particularly to the universities and technical institutes. In the identification of program needs in the province, it was necessary to take into account the scope of existing programs, whether in colleges, universities, or institutes, in order to reduce the possibility that a program would duplicate services offered elsewhere. The lack of a coordinating structure for the whole post-secondary sector made duplication difficult to avoid. But the problem was compounded by the dependency of the college system upon the universities with respect to transfer students, and to a lesser degree upon the technical institutes with respect to the transfer of college students into the second year of certain programs offered by those institutes. Universities, traditionally, adopted an inflexible attitude towards the admission of college students who had not fulfilled matriculation requirements, and the problem at the time data were collected for this study had not been resolved. In the case of college articulation with the technical institutes coordination was less difficult;

fewer students were involved, and procedures were stabilized by successful communication between the two authorities.

Developing a Master Plan

The Director of Instructional Services quite early recognized the need for a College Master Plan to guide the development of the system. Consequently, the Commission authorized the Director's assistant, Mr. R. A. Bosetti, to undertake the creation of such a plan, and work was begun in October of 1970. In February of 1971, however, at the request of the Minister of Education, the scope of the proposed plan was enlarged to include the whole non-university post-secondary sector. Mr. Bosetti was named Director of Research and Planning, provided with access to a substantial operating budget, and given mandate by the Commission to proceed. The Master Plan was scheduled for appearance in September, 1972.

The completed Master Plan was intended for the information of both the Colleges Commission and the provincial government, and whether any of the recommendations incorporated in the Master Plan ever reach the stage of implementation is a matter largely out of the hands of its maker. Master Plan activities, nevertheless, made their contribution to the work of the Colleges Commission. Bosetti (1971) identified the following:

1. At the outset, a theoretical model for Master Plan construction was devised. This was published by the Commission, and could well assist other agencies in their Master Planning endeavors.

2. The College Commission's information store was greatly augmented; research studies and survey reports were conducted for the Commission by its staff, various consultants hired for the purpose, and by graduate students whose thesis work was supported by the Master Plan

budget. Joint studies were undertaken with other planning agencies, such as the Alberta Human Resources Research Council. Contacts with other agencies engaged in similar research resulted in the development of expertise in various methodologies of data collection. The literature on planning was reviewed. The Commission's Planning and Research Branch was able to perform a coordinating role by providing an information service to member colleges.

3. The involvement of College Commission staff, professional educators, and members of the public in discussions relative to the Master Plan, generated interest and support and aided conceptual clarification of the purposes and functions of the college system.

OUTCOMES OF PLANNING

The Alberta Colleges Commission appeared to have fulfilled the principal purposes for which it was designed. Its greatest successes, according to several interviewees, were in the area of finance, in ensuring adequate levels of support to enable colleges to attract competent administrative and academic staff, in introducing new programs and in providing suitable physical facilities at the colleges.

Three college presidents noted their appreciation of the Commission's guidelines for program and capital development, and of procedures established for proposal submission and approval. Two presidents thought that the Commission's stimulation and support of new programs contributed to system development. Other examples given of Commission successes in coordinating and planning system development were in the articulation of long-term needs, in providing leadership to Boards of Governors, and in assisting student and faculty associations in

developing their roles.

The Chairman of the Commission made reference to the Commission's changing emphases over time. In the initial stages of the Commission, when college enrolments were growing rapidly and the most pressing needs were for new buildings and equipment, new programs and faculty to teach them, the emphasis was upon expediency. With the development and institutionalization of operating procedures, and the gradual stabilization of enrolments, the emphasis shifted towards long-range planning. Kolesar (1971) explained the Commission's changing emphasis in the following way:

Initially we had a responsibility of encouraging people to attend and of providing space for those who would attend, and we have not provided the assistance that probably should be provided in the area of curriculum development and program development. I can see the first stage of planning being concerned with mundane things, buildings, providing money and finding people, and then the emphasis shifting from that to looking at what we are actually doing, evaluating what we are doing and developing new directions in what we are doing, determining how we can apply technological advance to improving the quality of the things we are doing, and the efficiency of what we are doing

SUMMARY AND ANALYSIS

With the exception of Grant MacEwan Community College in Edmonton, all members of the Alberta College system were established before the Colleges Commission came into being. The Commission thus inherited a system which it had not created, a system that had been developed through the efforts of local communities and coordinated by the Department of Education, and for a brief period by the Provincial Board of Post-Secondary Education. These circumstances of development

influenced the way in which the Colleges Commission approached its task of promoting the development of the system, and help to explain the differences in approach between the college systems of Alberta and Ontario.

1. The Alberta Colleges Commission was not required to build a system, as was Ontario's Council of Regents. Its principal purposes were to distribute money and to exercise a degree of control over capital and program development to ensure efficient use of government funds. The Commission's small staff was not equipped for providing a consultative service to the colleges, and colleges were forced to rely upon their own initiative to a greater extent than would appear to have been the case in Ontario.

2. The Colleges Commission seems to have been successful in performing an intermediary role between the colleges and government, although one college president thought that the Commission's Chairman, being appointed by government, might have been unduly influenced by the political component. The Commission appeared neither as an agent of government nor as champion of the universities, but as an agency involved in the implementation of government policy among members of the college system and at the same time one concerned with assessing the needs of the system and carrying what it saw to be the system's legitimate needs to government. The extent to which the Commission influenced government decisions on college matters was difficult to determine. It could be noted, however, that the 1972-73 college budget approved by government was (for the first time) less than the sum actually requested by the Commission.

3. The Commission seemed anxious to have colleges assume a more

independent role than the colleges appeared to wish for themselves. Alberta colleges appeared to seek increased direction and control in certain areas, and the Commission appeared to be unwilling to provide it. This tendency to rely upon a centralized agency for direction might have been related to the colleges' early experiences under the Department of Education, and is similar to the situation in Ontario where the Colleges of Applied Arts and Technology seemed very dependent upon the leadership from the central coordinating agencies.

4. The Commission's desire to involve the colleges in system decision-making was reflected in the existence of the Colleges Advisory Committee. In the absence of formal mechanisms for college input into Commission activities, this structural arrangement served to encourage college participation and to establish a relationship between colleges and Commission which was less characteristic of the dependency relationship which seemed to exist between the colleges of Ontario and the Council of Regents.

5. In the area of program development, the Commission employed two techniques. It relied upon college initiatives, and on occasion it seized the initiative in introducing programs itself. In either case, decisions to approve program development were based on considerations of social demand and manpower requirements, and not upon any sophisticated plan for system development. During the first three years, the Commission experienced little difficulty in persuading colleges to expand their program offerings. Colleges were eager to grow in order to keep pace with the increasing demands placed upon them by escalating enrolments, and to enhance their own status and prestige. With a more stable enrolment pattern, and with the likelihood of smaller increases in the

levels of government financial support, the Commission may tend to devote more attention to the evaluation of its operation and to improving the quality and efficiency of its services.

6. In developing and using a simple formula for calculating college operating grants, the Commission followed the lead set in other jurisdictions. A more complex formula, based on detailed course costing, was under consideration. In comparison with the Ontario college system with its twenty colleges and many thousands of students, or in comparison with the university systems with their large and complex institutions, the Alberta college system appeared small and relatively uncomplicated. A sophisticated formula for the distribution of operating funds under those conditions was probably not seen to be a pressing need.

Chapter 8

SUMMARY, CONCLUSIONS AND IMPLICATIONS

This chapter contains a summary of the main descriptive chapters in the thesis, conclusions and generalizations that are suggested by the analysis, and implications for coordination in post-secondary education. The Reports of the Ontario Commission on Post-Secondary Education and the Alberta Commission on Educational Planning are examined in light of the implications drawn from the study.

SUMMARY

This study examined the origins, structure, operation and outcomes of four approaches to planning and coordination in post-secondary education. Two university systems and two college systems were chosen for analysis, one of each in the Provinces of Ontario and Alberta. Special focus was placed upon the coordinating agencies in each system, their work being described and analyzed in terms of a conceptual framework developed from the literature on coordination and planning. Table 13 presents a summary of the analysis, which is provided in somewhat greater detail below, under the following headings: purposes, structures, functions, and relations with other agencies.

Purposes

The four agencies studied showed wide variations in the purposes which had been set for them, and these purposes tended to influence the character of their operation. The Ontario Committee on University

Table 13

Summary of Approaches to Planning and Coordination
in Post-Secondary Systems

	Ontario Committee on University Affairs (1964)	Alberta Universities Commission (1966)	Ontario Council of Regents (1966)	Alberta Colleges Commission (1969)
Structure and Style of Operation	13 members, with both lay and academic representation. Academic members tended to take lead in dealings with the universities	9 members; no academic representation. Members tend to rely upon university initiatives and initiatives from staff members	15 members, no direct college representation. Members tend to rely upon Chairman and officers of Applied Arts Branch for initiatives	9 members, no direct college representation. Members tend to rely upon staff for initiative
	Full-time chairman since 1967	Full-time chairman since 1966	Full-time chairman since 1970	Full-time chairman since 1969
	Purpose: advisory to Minister over wide area	Purpose: Primarily to distribute grants; advisory to provincial government on total budget	Purpose: establishment & development of new college system; buffer for Minister of Education	Purpose: development of college system; grant allocation; advisory to government on total budget
Relations with Institutions	Staff: provided by the Department of University Affairs	Staff: 3 permanent officers	Staff: provided by the Applied Arts and Technology Branch of the Department of Education	Staff: 4 permanent officers
	Committee regarded by institutions as an agent of government	Institutions claim that the Commission has not fulfilled intermediary function	Institutions tend to rely on Council & Branch for leadership & consultative services. Council appoints college boards	Extensive consultative services not provided. Colleges are encouraged to act independently. Regulatory role of Commission emphasized
	Joint subcommittee structure has allowed exchange of views and cooperative activities with Council of Ontario Universities	Large number of subcommittees formed, with Commission and university representation, but few have been productive. Universities Coordinating Council has not provided academic input into Commission decision-making	Colleges have no formal procedures for contributing input into Council decision-making	No formal provision for college input into Commission decision- making; informal input through Colleges Advisory Committee

Table 13 (continued)

	Ontario Committee on University Affairs	Alberta Universities Commission	Ontario Council of Regents	Alberta Colleges Commission
Relations with Provincial Government	Has had support and confidence of government and has been influential in government decision-making	Has been excluded from some important areas of government decision-making on university development	Has had support and confidence of government and has been influential in government decision-making	Extent of influence on government decision-making difficult to determine. Has negotiated with government over budget
Major Functions				
1. Distribution of operating grant	Formula financing	Formula financing	Formula financing (Applied Arts and Technology Branch)	Simple formula approach
2. Capital financing	Formula financing	Guidelines and space use formula	Each proposal examined separately to ensure its consistency with Council-approved master plans for college development	Commission has issued guidelines for colleges
3. Program development	Has not exercised close control over program development but has by placing embargo on graduate development & by threat of government intervention forced universities to work towards a plan for graduate program rationalization	Commission has interpreted regulatory powers cautiously, always conscious of need to preserve institutional autonomy. Academic Master Plan Steering Committee working on plan for program rationalization	Initiative for program development may come from the colleges, the Branch, or the Council. No action taken to terminate programs. Connect/Campus Project is expected to assist in plan for program rationalization	Initiative for program development may come from the colleges or the Commission. No action to terminate programs. Master Plan for all post-secondary non-university education being developed

Affairs was intended to be advisory to government on all phases of the university system. Its purposes were never clearly stated, yet it was able to exert considerable influence on government decisions, and on occasions appeared to act independently in implementing decisions affecting the system and individual institutions.

The Alberta Universities Commission was intended primarily to act as an agency for the distribution of government grants and for the apportionment of capital grants, thus removing these functions from government responsibility. The Commission was also intended to advise government on the total amount of the annual operating grant to the university system. In respect of program development, the Commission's purposes were not clear, with the result that problems of interpretation occurred and very little Commission initiative in this area was evident.

Ontario's Council of Regents was intended originally to bring into existence a whole new system of colleges, and was involved in the politically sensitive task of deciding upon locations for the new colleges. The Council was seen primarily as a buffer to protect the Minister of Education against competing local claims for special consideration and hence was not involved in the distribution of college finances, this function being performed by the Applied Arts and Technology Branch of the Department of Education.

The Alberta Colleges Commission was intended to act as an allocating agency for government grants, but was also charged with the task of stimulating the development of the Alberta college system. To this end, the Commission was given more specific powers over capital development and over certain administrative and operational

aspects of the colleges.

Structures

Purposes held for the agencies were reflected in their structures. The Committee on University Affairs was the only agency which included academic as well as lay members, an arrangement which reflected the Committee's concern for academic as well as financial matters. The Committee's use of the Department of University Affairs as its secretariat conveyed to many the impression that the Committee was more closely representative of government interests than of the interests of the universities. The Committee emerged not as an intermediary body between the universities and government, but as a government-sponsored power balance to the voluntary association of provincial universities, the Council of Ontario Universities.

The Alberta Universities Commission had no academic membership, an arrangement which reflected its early emphasis on financial matters. The Commission's small staff provided additional evidence that the Commission was not intended to extend its concern into the internal academic affairs of the universities. The Universities Coordinating Council, composed of institutional members, was probably intended to become the forum for discussion of academic matters and program development in the university system, but it was apparently unable to perform this task successfully.

The Council of Regents in Ontario originally contained a cross-section of prominent businessmen and industrialists representative of various regional and business interests. In dealing with politically sensitive issues, such as deciding upon college locations, the Council had to appear credible to local interests in order to act effectively

as a buffer for the Minister. In discharging its responsibilities in the matter of college plans for capital and academic development, the Council relied heavily upon the resources of the Applied Arts and Technology Branch of the Department of Education. The Council's close association with the Branch gave to many the impression that they were two parts of the same agency. The Council was seen not as an intermediary between the colleges and the provincial government, but as an adjunct to the Minister of Education.

The Alberta Colleges Commission contained no college members, a structure which probably reflected the Commission's early concern with finance, particularly with respect to the allocation of operating grants. In addition, the Commission's small staff was evidence that the Commission was not to become very involved in the internal matters of the colleges.

Functions

Purposes and structures are reflected in the powers granted agencies to enable them to carry out their work, and also in the functions they undertake. The Committee on University Affairs was given no statutory powers, yet it was able to exercise a considerable influence on almost all aspects of the development of the Ontario university system. Its functions tended to concentrate upon procedures for allocating financial resources, but at times it took direct and decisive action in other fields, such as program development.

The Alberta Universities Commission was principally concerned with allocation of financial resources, and did not intervene in program development except through its function of reviewing proposals.

Neither the Committee on University Affairs nor the Universities Commission took steps to remove programs from certain universities. Neither took an active part in encouraging universities to establish programs in certain areas, and neither appeared to be particularly concerned with producing a provincial plan for the rationalization of program development. The Committee on University Affairs, by threat of intervention, forced the universities themselves through their association to work on the problem of program rationalization, and even went to the extent of placing an embargo on graduate program development in certain areas until plans for such rationalization had been produced. The Universities Commission in Alberta appointed an Academic Master Plan Steering Committee to work on program rationalization, but its progress was slow. In both systems, development at the Ph.D. level was controlled by Appraisals Committees; in Ontario the Appraisals Committee was appointed and supervised by the Council of Ontario Universities, and in Alberta the Appraisals Committee was under the jurisdiction of the Coordinating Council although it reported direct to the Universities Commission. Both Appraisals Committees relied heavily upon universities before taking action, and both engaged the services of outside academic experts in the process of program assessment. Neither Appraisals Committee had jurisdiction over any program other than proposed programs; over existing programs they were not to be concerned.

The Council of Regents for Colleges of Applied Arts and Technology was granted statutory powers only with respect to the appointment of members of college Boards of Governors. In all other respects its function was to be advisory to the Minister of Education.

Originally, the Council's principal activity was in deciding on the location of new colleges, in reviewing college plans for academic and capital development, and recommending their acceptance to the Minister. Subsequently, its principal activity was in reviewing and recommending for approval proposed new programs in the colleges. The Council was not involved in program termination, and had not developed a plan for program rationalization on a system basis. On occasion, the Council encouraged colleges to establish programs in areas for which there was an identified need.

The Alberta Colleges Commission was principally concerned with problems in the financing of the system, but at the same time was active in the area of program development, having identified a need for certain programs and encouraged colleges to offer them. The Commission's Research and Planning Branch was working towards the development of a Master Plan for post-secondary non-university education, through which it was hoped that future program development in all sectors of the post-secondary system might be rationalized.

In all agencies, program development appears to have rested upon the following criteria: (1) the quality of the staff of the institution at which the new program was to be offered, (2) the extent of demand among students for the program, both existing and projected, and (3) projected manpower requirements for graduates of the program. Decisions were made with consideration for all three criteria, but with perhaps less attention to criterion (1) in the case of programs below graduate level.

In the area of finance, there was little evidence on which to base judgements about the amount of influence exerted by the four

agencies upon government decisions with respect to total financial support for the systems. It seems, however, that the Alberta agencies, in their roles as intermediaries between the institutions and the provincial government, were expected to attempt to influence government decisions in this area. To what extent the Commissions have influenced government is difficult to determine. In the early years of the Commissions government grants were invariably equal to the sums requested, but this fact alone is insufficient evidence of a strong Commission influence.

In distributing operating grants, all agencies adopted some form of formula, the larger and more complex the system the more complicated the formula which was developed. Formula financing appears to have been accepted in all systems as the most reasonable way of allocating resources, but it was not without its critics who pointed to the "steering" effects of formulae based on program weightings, and to the difficulties in changing those weightings once they had been established. The "steering" effects of the formula were most evident in Ontario, where graduate development had apparently been greatly encouraged by relatively heavy weightings for all types of graduate programs. Where formulae based on program weightings were used, the weights given to particular programs were apparently determined by existing program costs as calculated for particular programs and for particular levels in those programs. Weights used in the Alberta university system were based to a large extent upon those adopted in Ontario some time previously.

In capital development, projects were financed in various ways, although the trend appears to have been towards more objective-

appearing procedures. The capital formula used in the Ontario university system was the most complex, and had, according to the Director of Architectural Services in the Department of University Affairs, "absolutely routinized" procedures for capital project financing. Other agencies were using guidelines to assist institutions in preparing their proposals for capital development, and the Universities Commission in Alberta, at the time of this study, had developed a formula for the calculation of space required by certain types of program and for certain numbers of students.

Relations with Government and Institutions

The capacity of a coordinating agency to exercise the kind of control needed for carrying out its responsibilities in planning and coordination seems to have depended upon the relationships which existed between the agency and the provincial government on one hand, and between the agency and the institutions on the other. In Ontario, both the Committee on University Affairs and the Council of Regents have appeared to be influential in government decision-making with respect to their systems, and to have had the confidence and support of government in all aspects of their operation. Their recommendations to government seem invariably to have been accepted and approved for implementation.

The universities of Ontario seem to have resented the power that this relationship with government gave to the Committee on University Affairs, and through their Council protested when the Committee appeared to take unilateral action in matters affecting the universities. Between the Council of Regents and the colleges a different relationship seems to have existed. Colleges were not

particularly concerned about the power of the Council, and tended to look to the Council and to the Applied Arts and Technology Branch for advice, support, and guidance.

In Alberta, the Commissions were established as independent agencies with their own permanent staffs. Their roles as intermediaries between government and the institutions have not been without problems. With respect to the Universities Commission, the provincial government appears not to have taken the Commission into its confidence on some matters, and on occasion to have taken unilateral action without consulting the Commission. From the point of view of the universities, the Commission was not always successful in representing university needs adequately to government.

The Alberta Colleges Commission appears to have fulfilled its intermediary role with greater success than has the Universities Commission. Three factors may help to explain this. In the first place, the college system was small and its needs were relatively easy to identify. The sums of money involved were, in comparison with costs of supporting the university system, quite small. Secondly, the college presidents and Boards of Governors were for the most part inexperienced and tended to rely upon the Commission staff for guidance and direction, and were less concerned with notions of autonomy than with promoting the rapid development of their own institutions. Third, the provincial government had committed itself to an expansion of the college system, and was willing to support this commitment with adequate finance. These factors seem to have made it easier for the Colleges Commission to carry into effect government policy with respect to the college system, and appear to have given the Colleges Commission

a certain influence with government in the matter of support for the system--a point on which it would be difficult to provide conclusive evidence.

CONCLUSIONS

Conclusions to be drawn from this study should be regarded as tentative, as the investigation of only four coordinating agencies is an insufficient base from which to derive general statements about planning and coordination in post-secondary education. Insofar as they are descriptive of the four agencies and the four systems dealt with in the study they are conclusions in respect of the limited scope of the present study. With respect to their applicability to other post-secondary systems and to other forms of coordination, they should be seen as propositions which might with benefit be tested in different jurisdictions.

1. Coordinating agencies are designed to serve two major purposes, to be intermediaries between government and post-secondary institutions, and to be advisory to government.

- a. Intermediary agencies tend to have clearly defined powers, particularly in relation to the distribution of government grants.

- b. Advisory agencies tend to be expected to concern themselves with a wide range of system activities.

- c. Intermediary agencies tend to be excluded from certain areas of decision-making which government retains, and tend on occasion to be vulnerable to government's encroaching upon areas of decision-making thought to be the agencies' jurisdiction.

d. Advisory agencies tend to share in government decision-making with respect to the post-secondary system, and to be accorded a considerable measure of freedom in determining and implementing policies affecting their systems.

2. Coordinating agencies, whether intermediary or advisory, tend not to be seen as independent, unbiased, institutions.

a. Advisory structures tend to be seen as representing the interests of government.

b. Intermediary structures tend to be seen by each side as leaning towards the interests of the other side.

3. Coordinating agency boards tend to place heavy reliance upon academic or professional input in their decision-making.

a. Where boards are composed wholly of lay members, these members tend to rely upon the agency's staff, especially the permanent chairman, to introduce matters for discussion and decision.

b. Where boards are composed of academic and lay members, the academic members tend to take the lead in dealings with the institutions and in introducing matters for discussion.

4. The effectiveness of voluntary associations of post-secondary institutions tends to be related to the presence of an external influence perceived as a threat to the autonomy of the institutions in the system.

a. Where no threat is perceived, voluntary associations either do not exist or are supportive of the coordinating agency.

b. Voluntary associations tend to be more effective in activities of cooperation rather than in activities of coordination.

5. The planning efforts of coordinating agencies tend to be

adaptive (dependent upon circumstances or the actions of others external to the planning system) rather than developmental (having a high degree of autonomy with respect to the setting of ends and choice of means).

a. Agencies tend to adopt formula financing to implement government policies--equitable distribution of government grants, preserving the appearance of institutional autonomy, and maintaining control over total system expenditures.

b. Once established, formulae tend to be difficult to change, hence the "steering" effects of formula financing, whether intended or not, are hard to reverse without other forms of control.

c. In deciding upon the distribution of program responsibilities among institutions, agencies tend to be responsive to social demand and manpower requirements.

d. Coordinating agencies tend to delegate responsibility for program rationalization to groups composed primarily of institutional representatives.

e. In developing procedures for the assessment and financing of capital projects, coordinating agencies tend towards standardization, reflected in the use of guidelines and space use formulae.

f. Following early periods of growth and expansion, coordinating agencies tend to become more concerned with evaluation of and control over system development--a trend towards allocative planning.

6. Colleges tend to have different expectations for their coordinating agencies than do universities.

a. Colleges expect their coordinating agencies to perform a consultative role. Universities do not have this expectation for their coordinating agencies.

b. Colleges expect direction and leadership from their coordinating agencies. Universities tend not to seek this kind of relationship with their coordinating agencies.

IMPLICATIONS

The conclusions of this study may be considered in relation to the findings of other studies and in relation to the recommendations of two Commission Reports--the Draft Report of Ontario's Commission on Post-Secondary Education, and Alberta's Commission on Educational Planning Report, A Choice of Futures. Both reports were released during 1972. Implications for coordination and planning may be discussed under headings representative of three of the most salient issues raised by most studies: program development, formula financing, and alternative structures for planning and coordination in post-secondary education.

Program Development

The coordinating agencies in Alberta and Ontario appear to have achieved most of the purposes for which they were established. Most notable among their achievements has been the development of procedures for the distribution of government grants among the institutions composing their respective systems. In the matter of program development they have been less successful, particularly with respect to decisions about the distribution of program responsibilities among

institutions; decisions which would involve not only the approval of new programs in various institutions, but also the termination of programs which were no longer viable. In view of increasing public interest in the costs of post-secondary education and government reluctance to support the universities and colleges to the same extent as in the 1960's, program rationalization--development of programs according to a provincial rationale--has become an important issue.

None of the four coordinating agencies has appeared to tackle the problem of program rationalization seriously, although the need for it was expressed by personnel in each system. Among the agencies, activities in the program field have been restricted largely to reviewing proposals for new programs, although the college agencies have been active in stimulating development in certain program areas. The successful Appraisals Committees operating in university systems in both provinces go only part of the way towards a solution of the problem, for their functions are limited to a consideration of new programs at graduate level. They have no power to terminate programs. The Seventh Annual Review of the Economic Council of Canada made reference to a tendency to program proliferation in higher education and to a propensity for institutions to resist discarding old courses (Seventh Annual Review, 1970:72). There would seem to be a need for coordinating agencies to address themselves to two important issues if program rationalization is to become a reality:

1. If program rationalization implies program termination as well as program approval, where should power to exercise this control reside?
2. On what basis should decisions about program rationalization

be made?

Majority opinion among writers in the field seems to favor placing in the hands of a coordinating board extensive power over program development. Glenny and others (1971:44) would have the coordinating board assume legal power to approve or disapprove any new unit of instruction, and the legal power to reallocate or discontinue existing programs. Hurtubise and Rowat (1970:115) would give to the coordinating board wide powers to "enforce a master plan," and Ontario's Commission on Post-Secondary Education recommended that coordinating boards should have power to establish new faculties and programs and discontinue unnecessary faculties and programs at both the graduate and undergraduate levels (1972:35).

The implicit assumption underlying these recommendations for increased and specific powers to be granted to coordinating boards is that only statutory agencies are capable of exercising the control needed. Voluntary associations of universities lack the power base to put into effect their decisions. While the history of voluntary associations would indicate that they have rarely been successful in coordination because recalcitrant members refuse to accept their decisions, the outcomes of Ontario's Discipline Assessment Committees should be watched with interest. The notion of voluntary coordination should not be abandoned until the Discipline Assessment Committees have reported to the Council of Ontario Universities and the Council has been given every chance to prove itself.

The second issue concerns the development of a rationale or scheme for program differentiation among institutions. Several writers have referred to the need for Master Plans to guide program

development (Berdahl, 1970; Hurtubise and Rowat, 1970). But the experience of four coordinating agencies, as revealed by the present study, would indicate that Master Plan development is not a high priority in agency activities, as at the time of the investigations none of the agencies had produced one. The major difficulty about Master Plan making, although undoubtedly there are other difficulties, seems to be in the lack of data on the need for highly qualified manpower. The Canadian Association of University Teachers (C.A.U.T. Bulletin, 20, 3, 1972:4) described the problem in this way:

. . . the absence of proper data makes it difficult to gauge the need for and the proper size of present academic programs, the need for and proper size of possible new programs

A serious shortcoming of the Master Plan approach to system development is that responsibility for decisions about the implementation of the Plan or of any part of it usually rests with the policy-makers for whom the Plan was produced. Under these circumstances it is difficult for coordinating agencies to feel any assurance about their Master Plans being implemented until the policy-makers have actually approved them, or parts of them, and have taken steps to put them into effect. The Master Plan being developed by the Alberta Colleges Commission at the time of the study might have suffered from the fact that it was intended for the information of policy-makers at government level, and those who were engaged in its production were unaware of the reception it would receive from the policy-makers.

An alternative to Master Plan making would be to institute a process whereby policy-makers and the technical experts would be responsible for on-going assessment of system needs in the light of changing circumstances in the social, economic, and political

environment, and for arriving at decisions jointly about the distribution and development of program responsibilities in the institutions. This would undoubtedly require some restructuring of some coordinating agencies. It will be apparent that the suggestion is based on Friedmann's concept of developmental planning.

Formula Financing

Formula financing has become a well-established procedure for the distribution of operating grants among institutions, and the trend towards the use of formulae for capital development purposes was noted.

Operating grant distribution by formula based on program weightings tends to have a steering effect on development, as was noted particularly in the case of Ontario graduate program development. Where this steering effect occurs in the absence of a rationale for program development, quite unanticipated results could be seen. Although it was noted that weightings once established are difficult to change, persistent use of formulae based on certain weightings would seem to make little sense. The problem about changing weightings is again one of insufficient data, for it is difficult to justify an alteration to weightings when the effects of such alterations can neither be predicted with any certainty nor related to manpower requirements. The best that can be hoped for is a constant monitoring of the effects of formula financing and making adjustments where they are thought to be needed. Clearly, a great need exists for careful study into the whole question of formula financing. Although the method is apparently so well established as to be considered a permanent feature of post-secondary financing, its shortcomings should be carefully researched and publicly

exposed. Glenny (1964:38) wrote:

Experience has shown that formulae must be constantly re-evaluated to keep them timely and equitable and to reflect as accurately as possible the changing assumptions which serve as their basis.

Alternative Structures for Planning and Coordination

Perhaps the most important issue in post-secondary coordination and planning is over the question of structures. The variation of opinion among authorities in the field may be seen in the contrast between recommendations on structures as contained in the two 1972 Commission Reports. Ontario's Commission on Post-Secondary Education recommended a coordinating board structure, with extensive powers in program approval and program termination, in admission requirements, and in the distribution of operating and capital grants (Draft Report, Commission on Post-Secondary Education:1972). These recommendations bear close resemblance to Berdahl's (1970:242-249) except that Berdahl would have the coordinating agency supported by a strong independent staff whereas the Ontario recommendations called for a small staff to serve the coordinating board with the bulk of the secretariat and research work being performed by the Department of Colleges and Universities (1972:33).

Alberta's Commission on Educational Planning recommended the abolition of both Commissions, the Universities Commission and the Colleges Commission, and their absorption into a Division of Higher Education which would fall under the jurisdiction of the Department of Advanced Education. The Commission's reasons for the recommended new structure were interesting:

Commissions or coordinating boards are seldom as effective and independent as they are intended to be. In fact, they often amount to another bureaucratic layer between government and institutions,

and they open up convenient avenues for avoidance of responsibility by government. Unlike government departments, commissions and boards are not subject to the strong residual power of Albertans to guide and evaluate their efforts. For these reasons, the Commission on Educational Planning believes that the performance of coordinating and planning functions must be undertaken by a government department (Commission on Educational Planning, Report, 1972:132).

The question of structure of course implies an underlying question of purpose and function. In the view of the Ontario Commission, agencies should perform an intermediary function, standing between government and the institutions to translate the needs of each to the other. The Alberta Commission on the other hand, by rejecting the concept of the coordinating board, implied that the intermediary function had never been adequately fulfilled.

Conclusions reached in the present study indicated that for different purposes at different stages of their development, post-secondary systems of education have different planning and coordination needs. In addition, college systems appear to require different approaches to planning and coordination from university systems. Two broad implications for coordinating structures are suggested:

1. Coordinating structures should be appropriate to the purposes and functions expected of them. If intermediary agencies, for example, are seen by the institutions of a post-secondary system as being ineffective in serving an intermediary function, then planning and coordination might just as well be carried on by a department of government.

2. College and university systems of education may require such different planning and coordination approaches that it would be unwise, without further study of their separate needs and purposes, to place both systems under the jurisdiction of a single coordinating

authority.

Controversy over structures for planning and coordination, and a growing recognition that the future functional issues in post-secondary education, as this study indicated, will involve formula financing and program rationalization, provide directions for research which may complement and extend the work begun in this study. If the major question is to be: what structures for planning and coordination are best able to fulfil the major functions of grant allocation and program rationalization, then research activities could with benefit be concerned with some of the following areas:

1. Voluntary Coordination--a descriptive analysis of the Discipline Assessment Program in Ontario, and an evaluation of its success.

2. Program Rationalization--a survey of alternatives to program review and approval to identify examples of allocative planning in program development.

3. Alternatives in Post-Secondary Financing--a survey of post-secondary financing procedures to identify alternatives to formula financing and to evaluate their operation.

4. Case Studies of Structures for Planning and Coordination--case studies of (a) the relationships between institutions in post-secondary systems and various kinds of planning and coordinating agencies, (b) the relationships between different kinds of agency, intermediary and advisory, and government, and (c) planning and coordination in government departments with responsibility for post-secondary systems.

REFERENCES

REFERENCES

A. BOOKS, REPORTS, GOVERNMENT PUBLICATIONS

- Ackoff, R. L. A Concept of Corporate Planning, New York: Wiley, 1970.
- Alberta Colleges Commission. Annual Reports, 1969-70; 1970-71.
- Berdahl, R. O. Statewide Coordination of Higher Education, Washington: American Council on Education, 1971.
- Browne, Arthur. The Institution and the System: Autonomy and Coordination. In Long-Range Planning in Higher Education, edited by Owen Knorr, Boulder, Colo.: Western Interstate Commission for Higher Education, 1965.
- Commission on Educational Planning. A Choice of Futures, Edmonton: Queen's Printer, 1972.
- Commission on Post-Secondary Education in Ontario. Draft Report, 1972.
- Committee of Presidents of Provincially-Assisted Universities. Post-Secondary Education in Ontario, Toronto: University of Toronto Press, 1963.
- _____. The Structure of Post-Secondary Education in Ontario, Toronto: University of Toronto Press, 1963.
- _____. From the Sixties to the Seventies, Toronto: 1966.
- _____. System Emerging, First Annual Review, Toronto: University of Toronto Press, 1967.
- _____. Collective Autonomy, Second Annual Review, Toronto: University of Toronto Press, 1968.
- _____. Campus and Forum, Third Annual Review, Toronto: University of Toronto Press, 1969.
- _____. Ring of Iron, Toronto: Baxter Press, 1970.
- _____. Variations on a Theme, Fourth Annual Review, Toronto: University of Toronto Press, 1970.
- _____. Towards 2000, Toronto: McClelland and Stewart Ltd., 1971.
- Committee on University Affairs, Ontario: Annual Reports, 1968-69; 1969-70.
- Coombs, Philip H. What is Educational Planning? Paris: UNESCO, 1970.

Council of Ontario Universities. Participatory Planning. Fifth Annual Review, 1970-71, Toronto: T. H. Best & Company, 1971.

_____. Statement by the Council of Ontario Universities and Responses by the Committee of Ontario Deans of Engineering, the Ontario Council on Graduate Studies, and the Association of Professional Engineers of the Province of Ontario to Ring of Iron: A Study of Engineering Education in Ontario, Toronto, 1971.

_____. Responses to the Draft Report of the Commission on Post-Secondary Education in Ontario, Toronto: 1972.

Duff J. and R. O. Berdahl, University Government in Canada, Toronto: University of Toronto Press, 1966.

Economic Council of Canada, Seventh and Eighth Annual Reviews, Ottawa: Information Canada, 1970, 1971.

Glenny, Lyman A. Autonomy of Public Colleges, New York: McGraw-Hill Book Co., 1959.

_____. State Systems and Plans for Higher Education. In Emerging Patterns in American Higher Education, edited by Logan Wilson. Washington: American Council on Education, 1965.

_____. R. O. Berdahl, E. G. Palola and James G. Paltridge. Coordinating Higher Education for the 70's, Berkeley: Center for Research and Development in Higher Education, 1971.

Government of Alberta. An Act to Provide for the Establishment of Public Junior Colleges, 1958, Chapter 64.

_____. An Act Respecting Provincial Universities, 1966, Chapter 105.

_____. An Act to amend the Public Junior College Act, 1967, Chapter 64.

_____. An Act Respecting a Provincial College System, 1969, Chapter 14.

Government of Ontario. Ontario Department of Education, Colleges of Applied Arts and Technology: Basic Documents, undated.

_____. Reports of the Minister of University Affairs of Ontario, 1967-68, 1968-69, 1969-70, 1970-71.

_____. Ontario Department of Colleges and Universities, Capital Formula, Toronto 1971.

_____. Ontario Department of Colleges and Universities. Horizons, A Guide to educational opportunities in Ontario for 1972-73 beyond the secondary school level, 1972.

Hurtubise, Rene and Donald C. Rowat. The University, Society and Government. Ottawa: University of Ottawa Press, 1970.

Ontario Council on Graduate Studies. The First Three Years of Appraisal of Graduate Programs, Committee of Presidents of Universities of Ontario, Toronto 1970.

The Alberta Universities Commission. Annual Reports. 1966-1967; 1967-1968; 1968-69; 1969-70; 1970-71; 1971-72.

B. PERIODICALS

Dror, Yehezkel. The Planning Process: A Facet Design. International Review of Administrative Sciences, Vol. 29, No. 1, 1963, 44-58.

Friedmann, John. A Conceptual Model for the Analysis of Planning Behavior. Administrative Science Quarterly, 12: 225-252, 1967.

Krueckeberg, Donald A. Variations of Behavior of Planning Agencies. Administrative Science Quarterly, 16 (2), 1971, 192-202.

Lindblom, Charles E. The Science of Muddling Through. Public Administration Review, 19 (Spring), 1959. 79-88.

The Canadian Association of University Teachers Bulletin, Brief to the Commission on Post-Secondary Education in Ontario, 20 (3) 1972, 3-11.

C. UNPUBLISHED WORKS

Alberta Colleges Commission. Developing a Master Plan for Alberta Post-Secondary Non-University and Continuing Education. Master Planning Monograph No. 1, 1971.

_____. Financing the College System, 1972-73 (Mimeographed)

_____. Research Project. Developing an Educational Master Plan for the Alberta College System, 1970. (Mimeographed)

_____. Staff Objectives and Activities 1969-71, 1971. (Mimeographed)

_____. Policies. Statements of Definition, Philosophy, Services and Functions and Procedures and Criteria for the Submission and Approval of Proposed College Programs, 1969. (Mimeographed)

_____. The Alberta College System, undated. (Mimeographed)

Committee of Presidents of the Colleges of Applied Arts and Technology of Ontario. Brief to the Commission on Post-Secondary Education, June 1970. (Mimeographed)

- _____. Letter from D. B. Sutherland, Chairman of the Committee of Presidents of Colleges of Applied Arts and Technology, Ontario, to The Honourable John White, Minister of University Affairs, Ontario, April 14, 1971.
- Committee on University Affairs/Council of Ontario Universities Joint Subcommittee on Finance/Operating Grants. Financing University Programs in Education, March 1971.
- Council of Ontario Universities. Advisory Committee on Academic Planning. Procedure for Geography Assessment, January 21, 1972. (Mimeographed)
- Eide, Kjell. Methods and Techniques in Educational Planning. 1970. (Mimeographed)
- Hansen, B. C. Brief of the Structure and Operation of the Operating Grants Formula for the Provincially Assisted Universities of Ontario 1967-1968 through 1969-1970. Council of Ontario Universities, May, 1969. (Mimeographed)
- Miklos, E. An Overview of Planning in Education. Alberta Human Resources Research Council, 1971. (Mimeographed)
- Miklos E. and P. Bourgette. A Concept of Educational Planning. Alberta Human Resources Research Council, 1971. (Mimeographed)
- Ontario Department of Education. Memorandum to Colleges of Applied Arts and Technology, Formula for Operating Grants, File 71-B-1, May 5, 1971.
- Organization for Economic Cooperation and Development. Centre for Educational Research and Innovation. Basic Paper on Educational Planning, Policy and Administration. Paris, August 1970. A Working Draft. (Mimeographed)
- Smith, W. A. S. A Comparative Study of Coordinating Structures for Systems of Post-Secondary Education. Report prepared for the Alberta Commission on Educational Planning, Alberta, 1970. (Mimeographed)
- Swift, W. H. Letter from W. H. Swift to J. R. B. Jones, April 18, 1967. The Alberta Universities Commission.
- _____. Letter from W. H. Swift to Dr. W. H. Johns, February 23, 1968. The Alberta Universities Commission.
- Symons T. H. B. (Chairman) Report of the Special Subcommittee on the Structure of the Ontario University System to the Committee of Presidents of Universities of Ontario, April, 1971. (Mimeographed)
- University of Alberta. Report of the Academic Planning Committee; Academic Planning Report No. 3, November 1965. (Mimeographed)

University of Alberta. Academic Planning Report No. 8. An Academic Development Plan for the University of Alberta, October, 1967. (Mimeographed)

Universities Commission of Alberta. Guidelines for Capital Estimates, October 1970. (Mimeographed)

Wright, D. T. The Financing of Post-Secondary Education: Basic Issues and Distribution of Costs. Address given at the National Seminar on the Costs of Post-Secondary Education. The Institute of Public Administration of Canada, June, 1970. (Mimeographed)

D. CORRESPONDENCE

Allen, J. W. Finance Officer, Applied Arts and Technology Branch, Department of Colleges and Universities, Ontario. June 8, 1972.

Swift, W. H. Formerly Chairman of the Alberta Universities Commission. November 11, 1971.

E. INTERVIEWS

Batty, Mr. J. F. Comptroller, Alberta Colleges Commission, November 11, 1971.

Beckel, Dr. W. E. President, University of Lethbridge, Alberta, March 17, 1972.

Bosetti, Mr. R. A. Director of Research and Planning, Alberta Colleges Commission, November 25, 1971.

Carrothers, Dr. A. W. R. President, University of Calgary, Alberta, February 23, 1972.

Clarke, Mr. Grant. Secretary, Council of Ontario Universities, December 1, 1971.

Constable, Mr. H. A. Regional Coordinator, Applied Arts and Technology Branch, Department of Colleges and Universities, Ontario. March 2, 1972.

Crate, Mr. Ross. Acting Director, Operating Support Branch, Department of Colleges and Universities, Ontario, December 1, 1971.

Fast, Dr. R. G. Director of Instructional Services, Alberta Colleges Commission, November 25, 1971.

Fenske, Dr. M. R. Director of Administrative Services, Alberta Colleges Commission, November 25, 1971.

Ford, Mr. H. W. Secretary and Financial Analyst, Alberta Universities Commission, January 28, 1972.

- Gerstein, Dr. Reva. Member, Committee on University Affairs, Ontario, November 29, 1971.
- Gordon, Mr. A. P. Assistant Deputy Minister, Department of Colleges and Universities, Ontario, December 2, 1971.
- Haar, Mr. John. President, Grant MacEwan Community College, Alberta, November 16, 1971.
- Hansen, Mr. B. L. Director of Research, Council of Ontario Universities, December 1, 1971.
- Ferguson, Mr. D. J. Director of Statistics Branch, Department of Colleges and Universities, November 30, 1971.
- Hazelton, Mr. J. W. Superintendent, Applied Arts and Technology Branch, Department of Colleges and Universities, Ontario. Formerly President, Mohawk College, Ontario. March 1, 1972.
- Jackson, Mr. H. W. Director, Applied Arts and Technology Branch, Department of Colleges and Universities, Ontario. December 2, 1971.
- Johnston, Mr. L. W. Assistant Deputy Minister, Department of Colleges and Universities, Ontario. December 2, 1971.
- Jones, Mr. J. R. B. Capital Planning Officer, Universities Commission, Alberta, January 28, 1972.
- Judd, Mr. H. B. Superintendent, Applied Arts and Technology Branch, Department of Colleges and Universities, Ontario. March 2, 1972.
- Kolesar, Dr. H. Chairman, Alberta Colleges Commission, November 25, 1971.
- Kristjanson, Dr. A. M. Academic Planning Officer, Alberta Universities Commission. November 1, 1971; January 25, 1972.
- Macdonald, Dr. J. B. Executive Director, Council of Ontario Universities, December 1, 1971.
- McCullough, Mr. J. D. Director, Capital Support Branch, Department of Colleges and Universities, Ontario. November 30, 1971.
- McDonald, Mr. Brian. Executive Secretary to the President, University of Alberta. Formerly Secretary, Alberta Universities Commission, February 1, 1972.
- Mowat, Dr. G. L. Chairman, Department of Educational Administration, University of Alberta. Formerly Chairman, Provincial Board of Post-Secondary Education, Alberta. November 8, 1971.
- Neal, Dr. W. D. Vice-President (Capital Development), University of Alberta, February 8, 1972.

- Norton, Mr. S. A. Superintendent, Applied Arts and Technological Branch,
Department of Colleges and Universities, Ontario, March 2, 1972.
- Pentz, Dr. W. B. President, Mount Royal College, Calgary, February 25, 1972.
- Preston, Dr. M. A. Executive Vice-Chairman, Advisory Committee of Academic
Planning, Council of Ontario Universities, March 2, 1972.
- Rees, Dr. R. E. Deputy Minister of Advanced Education, Alberta, January
27, 1972.
- Shaver, Mr. D. W. Associate Director, Applied Arts and Technology Branch,
Department of Colleges and Universities, Ontario, March 1, 1972.
- Sisco, Mr. Norman. Chairman, Council of Regents for Colleges of Applied
Arts and Technology, Ontario. November 29, 1971.
- Slater, Dr. David. President, York University, Ontario. Formerly Member,
Committee on University Affairs, Ontario. December 1, 1971.
- Stewart, Dr. E. E. Deputy Minister, Department of Education, Ontario.
December 2, 1971.
- Walker, Mr. H. J. Deputy Minister, Department of University Affairs,
November 29, 1971.
- Wright, Dr. Douglas T. Chairman, Committee on University Affairs.
Chairman, Commission on Post-Secondary Education in Ontario. March
2, 1972.
- Wyman, Dr. M. President, University of Alberta. February 15, 1972.

APPENDIX A

SAMPLE INTERVIEW GUIDES

QUESTIONS PREPARED FOR DIRECTORS OF COORDINATING AGENCIES

1. What were the major circumstances which led to the establishment of the agency? What were its primary purposes?
2. What are the agency's objectives, and how are these determined?
3. To whom is the agency responsible?
4. What major activities does the agency undertake?
5. Where are decisions made about the kind of work done in the agency?
6. What external factors or forces tend to influence the nature of the agency's work?
7. What part does the agency play in the formulation of policies which govern the operation of the system?
8. In what areas of its work has the agency been most successful in promoting system development?
9. In what areas of its work has the agency been least successful, and what factors might be responsible?

QUESTIONS PREPARED FOR STAFF MEMBERS OF COORDINATING AGENCIES

1. In what areas of activity does your responsibility to the agency chiefly lie?
2. Choose an activity which might be described as among the most important in which you engage, and answer the following questions:
 - (a) Describe the activity.
 - (b) Dates of commencing and completion.

(c) Who directed you to begin work on the activity?

(d) Towards what objectives was your work on the activity directed?

(e) With what other personnel did you work during the activity?

(f) What planning tools were used during the activity?

(g) Where did you obtain your information during the activity?

(h) Where were the results of your work on the activity used?

(i) What effects did your work on this activity have upon the system?

3. General questions relative to work in the agency.

(a) Do pressures of time or routine tasks tend to interfere with your work in the agency?

(b) What other factors might prevent your work from being more effective--communication problems, information problems, budgetary problems, support staff?

(c) To what extent are you able to work independently?

(d) What projects have you initiated in the agency?

(e) To what extent do you feel your work has influenced system policy-making?

(f) What aspects of your work have been implemented in the system?

(g) How do you go about getting your ideas implemented?

(h) What factors in the system, or external to it, might prevent or impede the implementation of some of your ideas?

(i) In what ways has your work in the agency been affected by interest groups, by changing social, economic or political factors?

QUESTIONS PREPARED FOR EXECUTIVE DIRECTOR
OF COUNCIL OF ONTARIO UNIVERSITIES

1. What were the circumstances which led to the creation of the Council of Ontario Universities (formerly the Committee of Presidents)?
2. What is the nature of the Council's work?
3. What is the Council's place in the university system decision-making structure?
4. What is the nature of the relationship among the Council, the Committee on University Affairs and the Department of University Affairs?
5. Where does system planning take place, and who are the planners in the university system?
6. Where has the work of the Council met with the greatest success?
7. Is the present structure working? How might it be changed to improve system planning and coordination?

QUESTIONS PREPARED FOR PRESIDENTS OF UNIVERSITIES IN
ALBERTA

1. What were (and are) the purposes of the Universities Commission?
2. Have the Commission's purposes been fulfilled?
3. Has the Commission been an effective force in promoting development of the University System?
4. How have the activities of the Commission affected your

particular institution?

5. Has the committee structure in the Commission been successful?

6. What changes in the university structure in Alberta would you recommend in order that system planning and coordination might be more effectively accomplished?

APPENDIX B

QUESTIONNAIRES

QUESTIONNAIRE FOR PRESIDENTS OF INSTITUTIONS

1. How long have you been in your present position?
2. What was your position before becoming president?
3. What are the purposes of the [coordinating agencies named according to the particular systems] as you see them? Have these purposes changed over time?
4. What are the main functions of [the coordinating agency]? Have these functions changed over time?
5. Do you feel that the [coordinating agency] has been an effective instrument in promoting system development?
6. What specific examples would you cite to show where [the coordinating agency] has been successful in promoting system development?
7. Do you feel that your institution has adequate opportunity to participate in the formulation of policies which govern the operation and development of the system?
8. Can you provide any examples where the [coordinating agency] through the exercise of its powers has prevented or impeded intended or hoped-for developments within your institution?
9. Do you feel that there is a proper balance between the powers of the [coordinating agency] and institutional autonomy?
10. Finally, what changes would you like to see made in the present coordinating structure, and why would you recommend them?

QUESTIONNAIRE FOR MEMBERS OF COORDINATING BOARDS

1. How long have you been a member of the [coordinating agency]?
2. What was the nature of your appointment to the agency?

3. What are the purposes of the [coordinating agency] as you see them?
4. Have the purposes of the [coordinating agency] changed over time?
5. What are the main functions of the [coordinating agency]?
6. Have the functions of the [coordinating agency] changed over time?
7. What matters tend to occupy most of the [coordinating agency's] time and attention?
8. What has been the nature of your contribution or involvement in the work of the [coordinating agency]?
9. Where do you feel that the work of the [coordinating agency] has had its greatest impact upon the development of the system?
10. What changes would you like to see in the coordinating structure in order that better system development might be accomplished?

B30041